

*The Personnel Function
in Educational Administration*

The Personnel Function in Educational Administration

second edition

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To Roberta

PREFACE

This book is concerned with the personnel function in educational administration. It had its genesis in *Administering the School Personnel Program*, which was published in 1962. The sequel to the original text was published in 1971, entitled *The Personnel Function in Educational Administration*. This book is a major revision of the 1971 text, the motivation for which is fourfold. First, the last five years have been witness to dramatic economic, political, legal, sociocultural, and technological changes which affect public employment policies, procedures, and processes. Second, there is a continuing and widening interest in the way educational systems are planned, organized, directed, and controlled. There is increasing concern throughout the world about how to remake organizations and to modify existing administrative practices so that they will contribute better to the welfare of both the individual and the system. Insights provided by systems theory, by the behavioral and quantitative sciences, and by the search for modification of classical management theory are leading to changes in concepts and structures, changes that recognize the importance of human resources in developing effective educational systems.

Third, general restlessness among organization personnel about the relationship between the governors and the governed is gaining momentum in the public sector. Teacher organizations are demanding, and in many instances gaining, the right to share in the development of policies and in the shaping of practices governing the conditions under which they work.

Fourth, many of the issues and topics discussed in the earlier volumes are no longer relevant. Thus, the overlap between this revision and the previous text is not substantial.

This text includes hypotheses, concepts, and practices for resolving human problems in educational systems. Central among these is the idea that the personnel function embraces key activities in administering an organization, and from these various subprocesses are derived. These comprise the substance of the chapters in this book.

Special attention has been devoted to the problems of manpower planning, compensation, collective negotiations, personnel information, and continuity of personnel service. Although these and other current organizational problems have been given emphasis, the main approach to

personnel administration is perceived as achieving organizational purposes by strengthening the individual in his relationships with the system. This is to say that individuals are the most important of organizational components, and that the constant task of those who administer is to look to the motivation and to the satisfaction of the wants and aspirations of their subordinates.

Throughout the preparation of this revision many people have been helpful and must necessarily go unnamed. The author is especially grateful to Dr. Richard S. Heisler for his critical review of the manuscript and for his contributions to the chapters on compensation and manpower planning. I would like also to express my appreciation to Jeffrey Barks, Lisa Ulrich, and Monica Pawluk Hottenstein, students in the Graduate School of Education, University of Pennsylvania, who assisted in various ways, ranging from editing to persistently tracking down even the most obscure sources.

Special thanks are due my secretaries, Mary Stevenson and Jean Stavely, gifted managers that they are, who devoted hours of effort and made adjustments beyond the call of duty to bring this manuscript from one point to another on schedule and according to plan. To everyone involved, I am grateful.

Ithaca, Pa.

W. B. C.

CONTENTS

Part I Perspectives on the Personnel Function

1. Human Resources and the Pur-
posive School System 3

Part II Organizing and Planning the Personnel Function

2. Organization of the Personnel
Function 33
3. Planning Concepts Related to
the Personnel Function 62

Part III Manpower, Recruitment, Selection, and Induction Processes

4. Manpower Planning: Dimensions
and Assumptions 91
5. Manpower Planning: Structure
and Staff Projections 121
6. Recruitment of Personnel 138
7. Selection of Personnel 167
8. Induction of Personnel 205

<i>Part IV</i>	<i>Appraisal, Development, Compensation, and Collective Negotiations Processes</i>	
9.	Appraisal of Personnel	231
10.	Development of Personnel	271
11.	Compensation of Personnel: Fundamental Concepts	305
12.	Compensation of Administrative and Service Personnel	342
13.	Collective Negotiations and the Personnel Function	382
<i>Part V</i>	<i>Personnel Security, Continuity, and Information Processes</i>	
14.	Security of Personnel	417
15.	Continuity of Personnel Service	439
16.	Personnel Information	479
	<i>Selected Bibliography</i>	505
	<i>Index</i>	515

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PART I

Perspectives on the Personnel Function

Human Resources and the Purposive School System

This book deals with personnel administration in public school systems. Its purpose is to bring a broad perspective to the subject matter under consideration—to give insight into the purposes, policies, plans, procedures, and processes of personnel administration.

The present chapter deals first with long-range personnel strategy, in order to illustrate the linkage between human resources and attainment of organizational purposes. Then it examines major forces which affect both the performance of individual members of the school system and the attainment of the purposes for which it exists. This approach is designed to emphasize the purposive nature of a school system; the organizational and human impact of the personnel function; the forces, factors, and conditions that are continually at work to modify both the performance of the individual and the organization; and to set the stage for succeeding chapters, which are concerned with understanding and coping with human problems in an organizational setting.

Let us begin with the observation that in recent years this nation has witnessed an interest in its educational system which is without parallel. Although there has been marked disagreement about educational aims and the methods for achieving these aims, there is general agreement on the need for a superior educational system.

The problems involved in attaining education of fine quality in local school districts are formidable. Purposes must be defined, policies established, programs developed, personnel employed, facilities purchased, revenues obtained, and a host of separate operations coordinated. This work is done by people—professional educators, nonteaching personnel, librarians, physicians, psychiatrists, lawyers, business managers, and laymen.

It is generally conceded that the success of any human endeavor is closely related to the quality of the personnel who perform the tasks necessary to the achievement of purpose, as well as to the conditions that affect their physical and mental well-being. This assumption is as applicable to school systems as it is to any organized human effort. The

extent to which public education succeeds will depend largely upon the quality of the personnel engaged in the educational process and upon the effectiveness with which they discharge individual and group responsibilities. The school plant is important, as are organization purposes. Money, of course, is significant; a well-designed program is essential; and leadership is vital. But the most crucial single element in the educative process is the people charged with the task of effecting desirable changes in children and youth. This, in essence, is the thesis of the textual material that follows.

LONG-RANGE PERSONNEL STRATEGY

A school system is one of the most important purposive social institutions. Although there are contrasting viewpoints as to the school's role as a social institution, a statement by George S. Counts on the goals of education in the United States represents a consensus of purposes of education in a democracy.

Education for individual excellence.

Education for a society of equals.

Education for a government of free men.

Education for an economy of security and plenty.

Education for a civilization of beauty and grandeur.

Education for an enduring civilization.

Education for a world community.¹

If the proposition is accepted that a school system is a purposive organization whose members seek through common effort to attain goals such as those just cited, then it becomes clear that the long-range strategy of personnel administration is to help the school system attract, retain, and develop the kinds of human resources needed to achieve its overall goals. The personnel envisioned here are those who will have the ability, motivation, and creativity to: (1) enable the system to surmount its infirmities; (2) continually adjust the educational program to the needs of individuals living and competing in a dynamic society; (3) provide leadership that shapes the human organization in such a way that there will be congruence between the individual and the system; (4) create conditions and climate conducive to maximum voluntary growth and individual effectiveness; and (5) influence ordinary personnel to perform in an extraordinary fashion.

This kind of personnel strategy calls for a leadership focus that is intent upon achieving the goals of the organization; that provides op-

¹ George S. Counts, *Education and American Civilization* (New York: Bureau of Publications, Teachers College, Columbia University, 1952), 311-430.

portunities for its members to bring initiative and creativity to their tasks, which will result in both individual satisfaction and effective position performance; that will mesh administrative processes so that greater congruence between organizational ends and individual efforts becomes a reality.

This focus is on the major human problems of school organizations that affect the learning outcomes of children and youth—including the communications gap; ineffective rewards; inadequate supervision; inequitable compensation; position insecurity; lack of authority; career inflexibility; personnel obsolescence; unproductive recruitment and selection efforts; position discontent; excessive turnover, tardiness, and absenteeism; inequality of employment and promotion opportunities; and strikes.

Modern Organization Theory and the Personnel Function

Our concern in this text is the solution of continuing human problems of school systems through the application of modern organization theory. At the heart of this theory is the systems approach to organization and administration. According to Scott, modern organization theory accepts systems analysis as a starting point. These are among the questions posed by the theory:

- What are the strategic parts of the system?
- What is the nature of their mutual interdependency?
- What are the main processes in the system?
- Which link the parts and facilitate their adjustment to each other?
- What are the goals sought by the system?²

Figure 1.1 has been included to illustrate the significance of these questions when employed as the framework for a conceptual model containing the elements of modern organization theory. The basic parts of an organization, as shown in Figure 1.1, include the individual, the formal organization, the informal organization, leadership styles, and the physical setting. The parts of the system are integrated by three processes: communication, balance, and decision-making. The influence of these various elements on the performance of the individual and the organization will be discussed here.

The concept of an educational institution as a purposive system takes into consideration how the system delivers educational services to its

² William G. Scott and Terence R. Mitchell, *Organization Theory: A Structural and Behavioral Analysis*, Rev. Ed. (Homewood, Ill.: Richard D. Irwin, Inc., and The Dorsey Press, 1972), 55.

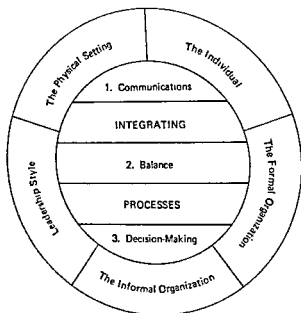


Figure 1.1. Elements of modern organization, Source: Robert G. Murdick and Joel E. Ross, *Information Systems for Modern Management*, p. 106. © 1971. By permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

clients, and how it creates opportunities for members to derive satisfaction from the work they perform. In order to view and to understand the school system (or any human organization) as an entity, systems theory is of considerable significance. Because people are one of the basic elements of the school system, and because their behavior influences its effectiveness, the relationship between the individual and the system constitutes the substance of the remainder of this chapter.

Included in modern school systems are staff members who vary in quantity and quality of educational preparation, work experiences, work expectations, assignments, temperament, attitudes, skills, and values. There are administrators, teachers, specialists, paraprofessionals, and operation, maintenance, clerical, food service, security, and transportation personnel. In addition to human agents there are other system components, as identified in Figure 1.1. These elements, when viewed in relation to each other, do not form a system. Administrative arrangements are necessary to cause them to act on each other so that the purposes of the system are achieved. More than a group of individuals is needed to develop a school system. People, as one component of the system, interact with each other (intrapart) in the performance of their roles, as do people and the formal structure or the informal organization (inter-

The systems aspect of modern organization theory has useful application in the administration of the personnel function. Among the broad observations that can be made about the relevance of the systems concept to the personnel function are the following:

- A school system is a human organization within which a social service is performed. The system is composed of a series of interdependent parts, including the formal organization, informal organization, people, status and role-expectancy patterns, and the physical environment. As illustrated in Figure 1.2, these parts interact with other elements (subsystems) within and outside of organizational boundaries. The animating force of the systems concept is integrative. At its core is a goal structure around which the organization is designed and to which the separate but interrelated components are functionally and operationally united to serve the purposes for which it exists. In the case of a school system, the systems approach focuses upon the transforming of human and nonhuman resources into educational programs and services through the interaction of human and related system elements.
- Educational administration is a social process that takes place within the context of a social system. This process may be examined from

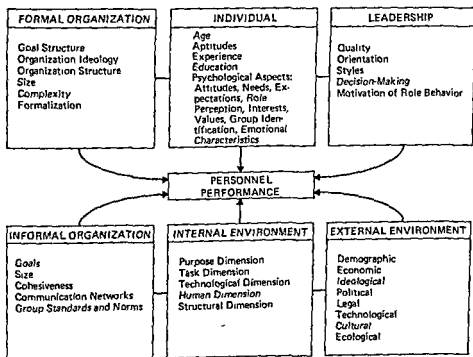


Figure 1.2. Interacting forces impinging on personnel performance.

three points of view. Structurally, administration is seen as the hierarchy of superordinate-subordinate relationships within the social system. Functionally, this hierarchy of relationships is the locus for allocating and integrating roles and facilities in order to achieve the goals of the system. Operationally, the administrative process takes effect in situations involving person-to-person interaction.

- The social system involves two classes of phenomena that are both conceptually independent and phenomenally interactive: (1) the institutions, with certain roles and expectations, that will fulfill the goals of the system; and (2) the individuals, with certain personalities and dispositions inhabiting the system, whose observed interactions comprise what we call social behavior.³
- The component subsystems of social organizations include: (1) a maintenance structure as well as productive and productive-supportive structures concerned with both through-put and system preservation; (2) elaborate, formal role pattern; (3) clear authority structure; and (4) ideology, to provide system norms which buttress the authority structure.⁴
- Each individual in the organization brings to his work certain needs which he seeks to satisfy. When the needs of the individual and the demands of the organization are not compatible, problems arise that affect both the individual and the organization. Unfortunately, organizational expectations and individual needs are seldom completely compatible. Causes of the disparity reside both in the individual and the system.
- The personnel function can be conceived of as a major subsystem of the total school system. Within the personnel function there is a network of interdependent processes, including manpower planning, compensation, recruitment, selection, induction, development, security, and justice. One of the major foci of the personnel function is to minimize those forces, factors, and conditions that are not conducive to organizational health.
- The way in which the total system is designed and implemented, from the subsystems to the integrated whole, can affect the willingness of system members to cooperate in achieving organization goals.
- The importance of people in an organization is such that those responsible for the personnel function cannot ignore the interdependence and interaction of the system and its parts. The practicing administrator, the board, the superintendent, and the administrative

³ Jacob W. Getzels et al., *Educational Administration As a Social Process* (New York: Harper & Row, Publishers, Inc., 1968), 52-58.

⁴ Daniel Katz and Robert Kahn, *The Social Psychology of Organizations* (New York: John Wiley & Sons, Inc., 1966), 47.

team should understand the impact of the total system and its parts on the individual, as well as the response of the individual to the system.

It can be inferred from what has just been stated that any effort to design the personnel function in a school system should be based upon an understanding of human behavior and its linkage to other parts of the system. The section that follows is aimed at interrelating some basic ideas about the interacting forces that affect personnel performance, as well as the problems they pose and the opportunities they create for personnel administration.

Organization Subsystems and Personnel Performance

If the proposition is accepted that the performance of the individual member of a school system is influenced by its component subsystems, it follows that *one of the tasks involved in the personnel function is to design plans that will minimize negative influences of these parts on individual satisfaction, position productivity, and organizational effectiveness.* In essence, one of the objectives of the personnel function is to *minimize the dysfunctionality between the individual and the system.* With this assumption in mind, let us consider these interacting forces, as illustrated in Figure 1.2, beginning with a major component, the formal organization.

THE FORMAL ORGANIZATION

An organization may be defined as a group of persons who interact through a structured process to achieve certain purposes. Formalization of the organization involves plans designed to accomplish the tasks for which it exists. Such plans specify what is to be done (goal structure); the positions to be filled to do the work; *who will occupy the positions;* how the position-holders will interact; how the work is to be done; and under what conditions it will be performed. In short, formalization structures an organization in terms of goals, roles, activities, and their interrelationships. Another characteristic of formal organizations is variability. School systems, for example, range in size from one-room schools to large urban districts responsible for educating thousands of students. They vary also in purposes, quality and quantity of human and nonhuman resources, location, complexity, and extent of formalization, all of which are related to, but not necessarily equipotential in, organizational effectiveness.

It has been said many times that the satisfaction and dissatisfaction an individual derives from his work depend to a considerable extent on what the formal organization does to engender such experiences. One of the components of the formal organization, as shown in Figure 1.2, and closely intertwined with staff and organizational effectiveness, is the goal structure. Few would disagree with the following notions on the goal structure as an essential element of school organizations:

- A goal structure is indispensable to the efficient and effective operation of a school system.
- American education has long suffered from goal ambiguity.
- One of the major defects of American public schools is the variance between the administration of schools and the self-actualization goals that schools hold for youngsters.⁴
- The nature of the goals has extensive impact on the administration of a school system, ranging from the quantity and quality of manpower to personnel commitment, involvement, and need-satisfaction.⁵

In order to lend specificity to the foregoing statements, let us examine the goal structure of the Goodville school system, as illustrated in Figure 1.3. Not only is there a hierarchy of goals within the structure, but the nature of the work to be carried out at each planning level is specified, the support programs essential to the goals are indicated, and the anatomy of a PPBS (planning, programming, budgeting system) are identified.

Goals and Human Resources. Modern thought, in personnel administration, emphasizes the human-resources approach as well as the human-relations approach to the solution of human problems.⁷ This approach includes, among other values, careful attention by the organization to goal formulation, clarification, adherence, and internalization, as well as careful attention to plans within the personnel function for improving interpersonal relationships, for seeking better methods of resolving conflict, and for increased mutual understanding among system personnel.

⁴ For a useful summary of goals and objectives in education, see Thomas J. Sergiovanni and Fred D. Carver, *The New School Executive: A Theory of Administration* (New York: Dodd, Mead & Co., 1973), 33-45.

⁵ Goals and personnel commitment to them are discussed extensively in Amitai Etzioni, *A Comparative Analysis of Complex Organizations* (New York: The Free Press, 1961), 12-74.

⁷ For a discussion of the human resources approach to personnel administration, see Leon C. Megginson, *Personnel: A Behavioral Approach to Administration*, Rev. Ed. (Homewood, Ill.: Richard D. Irwin, Inc., 1972), Part One.

Goal Structure Component	District Mission	Goals of Instructional Programs	Instructional Programs and Instructional Support Programs	General Objectives of Instructional Programs	Behavioral Objectives of Instructional Programs
Planning Level	1	2	3	4	5
Component Description	Facilitate fullest development of individual for whose education district assumes responsibility	A. Intellectual development B. Social development C. Personal development D. Productive development	Instructional programs: Intellectual development Social development Personal development Productive development Instructional support programs: Administration Logistics Personnel Instruction Planning External relations	Curricula objectives: Language Arts Social Studies Mathematics Physical Education Music Art Home Economics Commercial Languages Special Education	Courses and units of instruction
Component Function	Provide basis for comprehensive planning and control	Describe the end product which community and system intend to develop	Develop processes through which detailed, coordinated, and comprehensive programs are made and for which resources are deployed to achieve goals	Provide operational plans for attendance units to achieve instructional goals	Establish behavioral objectives for classroom teachers and pupils

Figure 1.3. Description, function, and interrelationships among components of the goal structure, Goodville school system.

Goal setting as a facet of human-resources ideology is emerging as a significant modern organizational activity. Its growing acceptance is the result of a number of factors, including the need for greater unity of direction in all organizations, pressures to clarify organization and individual roles, and the importance of feedback to close the gaps between both individual and organizational plans and actual performance.

Considerably less attention has been paid, however, to the behavioral aspects of goal setting as they apply to members of a school system. Although it is clear that numerous benefits can be derived from goals established at the top level of the system for the total organization (see Figure 1.3), and at succeeding levels to engage the interests and energies of personnel in every position, it is equally manifest that unless members of the system are committed to general organizational goals and specific position objectives, the intended outcomes will not be realized. As will be stressed in subsequent chapters, the setting of organizational goals in-

volves consideration of the impact of this process on the people whom it will affect, and attention to internalizing organization goals so that they become part of the individual's value system. As indicated in the diagram, the gap between the actual and anticipated levels of achievement represents the motivational potential for both organizational and individual improvement.



One of the major tasks of personnel administration, then, is to understand human responses to system processes designed to achieve organizational goals. It is then possible to modify those processes when it is apparent that there is incompatibility between goals and human reactions to mechanisms for their attainment. Goal acceptance, commitment, and internalization are behavioral aspects involved in and essential to the outcomes of the goal-setting process. When carried out in isolation from, or with indifference to, the people responsible for intended outcomes, this process, is not likely to result in either high levels of personnel motivation, fulfillment of organization plans, or self-actualization for the school staff.

There is a kernel of truth to the criticism often made of educational establishments, that they suffer from "purpose ambiguity." Clarification of the hierarchical goals of the school system, from the very broad ones at the top to the specific, limited objectives pertaining to the staff member at the lowest organization level, can become the basis for voluntary cooperation. Not only does clarification of organizational expectations for the individual contribute to his security and to his position orientation, but achievement of both organizational and individual goals gives the individual a significant sense of accomplishment. The attempt by administrators to motivate their subordinates to achieve unknown or ambiguous goals is, of course, futile. The clearer it is to an individual what he is expected to do the more likely he is to achieve the expectation. The clearer the organizational expectations of individuals, the easier it is to evaluate progress in attaining the expectations. As a matter of fact, the individual cannot know where he is going or what he is doing until the school system knows where it is going. If the goals of the system are known and the individual has an opportunity to participate meaningfully in meeting these objectives through activities contributing to self-actualization, attainment of both system and individual goals will be enhanced. Goal-oriented individuals, as indicated in Table 1.1, show

Table 1.1 *Tendencies of the Goal-Oriented vs. the Task-Oriented Person*

<i>Goal-Oriented Individual</i>	<i>Task-Oriented Individual</i>
1. Seeks feedback and knowledge of results. Wants evaluation of own performance. Wants concrete feedback.	1. Avoids feedback and evaluation. Seeks approval rather than performance evaluation.
2. Considers money a standard of achievement rather than an incentive to work harder.	2. Is directly influenced in job performance by money incentives. Work varies accordingly.
3. Seeks personal responsibility for work if goal achievement is possible.	3. Avoids personal responsibility regardless of opportunities for success.
4. Performs best on jobs that can be improved. Prefers opportunity for creativity.	4. Prefers routine nonimprovable jobs. Obtains no satisfaction from creativity.
5. Seeks goals with moderate risks.	5. Seeks goals with either very low or very high risks.
6. Obtains achievement satisfaction from solving difficult problems.	6. Obtains satisfaction not from problem-solving so much as from finishing a task.
7. Has high drive and physical energy directed toward goals.	7. May or may not have high drive. Energies are not goal-directed.
8. Initiates actions. Perceives suggestions as interference.	8. Follows others' directions. Receptive to suggestions.
9. Adjusts level of aspiration to realities of success and failure.	9. Maintains high or low level of aspiration regardless of failure.

Source: Charles L. Hughes, *Goal Setting: Key to Individual and Organizational Effectiveness*. © 1965 by American Management Association, New York.

consistent work patterns. They exhibit confidence, are action-minded, have a tendency to make career, education, and work decisions without seeking help or advice. They feel a strong need to tackle tough goals and achieve them with excellence.⁸

Organization Ideology

A school system is composed of people with diverse views about the goals of education. Some will be proponents of the philosophical assumptions of John Dewey, with emphasis upon the development of critical-minded individuals who are able to live creatively and who are interested in improving society. Others will favor neohumanistic assumptions which focus on development of the intellect (Adler, Hutchins, Maritain). Still

⁸ Charles L. Hughes, *Goal Setting: Key to Individual and Organizational Effectiveness* (New York: American Management Association, 1965), 39. A detailed discussion of goals and effectiveness is also included in Richard D. Hall, *Organizations: Structure and Process* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1972), 79-102.

A. Interests of People

		Security against economic, political, and psychological deprivation	Opportunities for voluntary commitment to worthwhile goals	Opportunities to pursue one's own growth and development independent of organization goals
Power Orientation	Low	At the pleasure of the autocrat	Low: Unless one is in a sufficiently high position to determine organization goals	Low: Unless one is in a sufficiently high position to determine organization goals
Role Orientation	High:	Secured by law, custom, and procedure	Low: Even if, at times, one is in a high position	Low: Organization goals are relatively rigid and activities are closely prescribed
Task Orientation	Moderate:	Psychological deprivation can occur when an individual's contributions are redundant	High: A major basis of the individual's relationship to the organization	Low: The individual should not be in the organization if he does not subscribe to some of its goals
Person Orientation	High:	The individual's welfare is the major concern	High: But only if the individual is capable of generating his own goals	High: Organization goals are determined by individual needs

B. Interests of the Organization

		Effective response to dangerous, threatening environments	Dealing rapidly and effectively with environmental complexity and change	Internal integration and coordination of effort—if necessary, at the expense of individual needs
Power Orientation	High:	The organization tends to be perpetually ready for a fight	Moderate to low: Depends on size; pyramidal communication channels are easily overloaded	High: Effective control emanates from the top
Role Orientation	Moderate to low:	The organization is slow to mobilize to meet increases in threat	Low: Slow to change programmed procedures; communication channels are easily overloaded	High: Features a carefully planned rational system of work
Task Orientation	Moderate to high:	The organization may be slow to make decisions but produces highly competent responses	High: Flexible assignment of resources and short communication channels facilitate adaptation	Moderate: Integrated by common goal; but flexible, shifting structure may make coordination difficult
Person Orientation	Low:	The organization is slow to become aware of threat and slow to mobilize effort against it	High: But response is erratic, assignment of resources to problems depends greatly on individual needs and interests	Low: A common goal is difficult to achieve and activities may shift with individual interests

Figure 1.4. Interests of people and the organization under four orientations. Source: Roger Harrison, "Understanding Your Organization's Character," *Harvard Business Review* 50,3 (May-June, 1972), 127.

others will favor essentialism, realism, reconstructionism, or the *laissez-faire* values of Rousseau. Because of different ideologies or different systems of thought held by members of the organization, conflict about those issues is inevitable. Nor will the ideological issues within a school system center solely on the goals of education and methods of teaching and learning. There will be differences among members as to ways of satisfying the interests of the individual and those of the organization. Figure 1.4, for example, postulates four separate ideologies which, according to the author, affect the behavior of the organizations' members, its ability to meet effectively their needs and demands, and its ability to cope with the external environment. Several observations can be derived from analysis of Figure 1.4 as they relate to school personnel administration:

- The system of ideas and values to which an organization adheres has a profound effect upon its human resources, as well as upon its character. The system's ideology determines what will be taught, how it will be taught, by whom, how those who are employed will be treated, how decisions are made, how conflict is managed, and how the system responds to its external environment.
- School systems are dominated by professional personnel, many of whom will be oriented ideologically toward the interests of people rather than toward the interests of the organization.
- One of the functions of personnel administration is to assist the system to recognize the existence among members of different ideologies, to anticipate conflict over ideological issues, to develop strategies for accommodating different ideologies, and to work toward an ideological "mix" that will enable the school system to operate effectively amid ideological diversity.

ORGANIZATION STRUCTURE

- Every school system has what is generally referred to in the literature as an *organization structure*—a plan for linking positions and people to purposes. The structure may be one that has been formally adopted by the board of education, described by organization charts, position guides, and organizational manuals. Or it may be an informal structure with no documentation or information of any kind to describe its operational features. As illustrated in Figure 1.5, the elements of a structure include purposes, people, activities, and relationships.

It is generally agreed that structural arrangements make an important difference in how the organization and its members perform. The structural conditions imposed on individuals in a system are numerous and

Dimensions	Means of Evaluation
Scale (size)	1 (few employees) (many) 25,000
Hierarchy	1 (few levels) (many) 15
Authority delegation	1 (decentralized) (centralized) 10
Span of control	1 (few subordinates) (many subordinates) 40
Integration of activities	1 (low requirement) (high requirement) 10
Geographical dispersion	1 (one location) (many locations) 20
Job specifications	1 (general) (very detailed) 10
Formalization	1 (few rules and procedures) (many rules and procedures) 10
Nature of authority	Describe: line, staff, functional, concurring, etc.
Departmentation	Type: functional, program, territorial, process, customer.
Special structures	Classify and describe: service, staff, committee, task force, etc.
Openness of membership	1 (few barriers) (many barriers) 10
Group cohesiveness	1 (low) (high) 10
Informal structure	Describe the nature of social structure including roles, communication channels, group norms, power structure, and patterns of interaction.

Figure 1.5. Structure factor dimensions. Reprinted by permission of the publisher from *Situational Management* by Howard M. Carlisle © 1973 by AMACOM, a division of American Management Associations.

far-reaching. The new employee quickly learns something about structure when he is told:

- The nature and location of the position he will occupy.
- The relationship of this position to other positions in the structure.
- The degree to which the role he performs is specified.
- The level of the position in the organization.
- To whom he reports.
- With whom he will interact.
- The authority and responsibility allocated to the position.

- Relative status and importance of the position.
- How the reward system is related to the position.
- What the organizational expectations are for the position.

From the standpoint of the role of the personnel function and the organization structure, there are two important considerations:

What can the organization do to plan the structure in a way that will have a positive effect on its members?

What can the organization do to make it possible for individuals to exercise a positive effect upon the structure?

In view of the realization that *organizational* as well as *personal* and *interpersonal* factors are important behavioral determinants, and that the impact of each will vary according to the situation, technical and administrative rationality are called for in designing and maintaining the organization structure.⁹ Applying the best methods and techniques that exist with respect to organization structures can be construed as *technical rationality*. In a school system, this includes applying to the design of the structure all of the ideas that will make the structure more conducive to the improvement of instruction, to personnel cooperation, and to the satisfaction of the interests of parents, staff, and pupil personnel. Indeed, this should help the school to achieve its aims more readily.

There are certain premises which should be postulated in order to build technical and administrative rationality into the organization structure. These are:

- The organization structure should be designed around organizational purposes. It should be fashioned to facilitate the growth and development of individuals who will attend or are employed in the system.
- The chief executive of the school system should be given centralized authority and responsibility.
- Decentralization of the organization into school attendance units should be accompanied by greater operational autonomy in these units.
- The work of the superintendency should derive in part from the fact that school attendance units cannot be completely self-sufficient. The superintendency should supply those services that attendance units cannot supply for themselves, or that can be carried out more effectively from the central office.
- Responsibilities assigned to a position should be confined as far as possible to the performance of a single leading function.

⁹ See Richard H. Hall, *op. cit.*, for a discussion of the impact of organization factors on individual behavior.

- The number of levels of authority in the organization should be kept to a minimum.
- Lines of authority and accountability should be clearly delineated.
- For every position in the organization, there should be a position guide, in writing, indicating the nature, scope, expectations, and reporting relationships of the position.
- It should be realized that there is a limit to the number of positions that can be supervised effectively by a single individual (span of control).
- Every individual in the organization should be accountable to one superior; the accountability of higher authority for the acts of its subordinates should be absolute.
- Structural flexibility is important to accommodate the needs of modern men and women. Despite the inevitability of such bureaucratic arrangements as hierarchy, impersonality, and varying degrees of role specificity, it does not necessarily follow that individualism, creativity, innovation, and change are unattainable behavioral outcomes.
- Although organization structures strongly influence individual behavior, it does not follow that the behavior of all individuals in all situations will be organization-oriented.

The Individual and the Organization

Examination of Figure 1.2 indicates that there are factors within each individual that affect his performance in the school system. These are his basic human needs, his ability and willingness to perform, and his past experience, education, and perceptions of the position he holds.

All who are involved in administration of an educational enterprise need to understand the importance of integrating the individual and the organization. The individual and the organization are two separate systems, each of which attempts to actualize itself through personalizing (individual) and socializing (organization) processes.¹⁹ Understanding this is especially crucial in educational administration because the majority of the skills required by the system are professional in nature. Administrators are individuals whose intellectual leanings, creative activities, and independence require sophisticated personnel approaches

¹⁹ See Chris Argyris, *Integrating the Individual and the Organization* (New York: John Wiley & Sons, Inc., 1964); also *Management and Organizational Development* (New York: McGraw-Hill Book Company, 1971); Robert A. Luke, Jr., "Matching the Individual and the Organization," *Harvard Business Review*, 53:3 (May-June 1975), 17 ff.

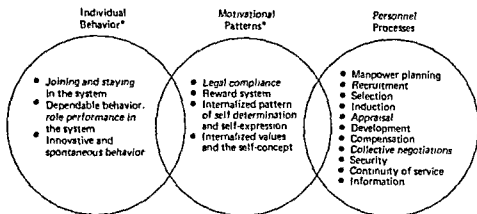


Figure 1.6. Linkages among behavioral outcomes, motivational patterns, and personnel processes.

* Content related to individual behavior and motivational patterns adapted from Daniel Katz, "The Motivational Basis of Organizational Behavior," *Behavioral Science*, 9 (April, 1964), 131-146.

to reconcile their needs with those of the organization. Figure 1.6 is designed to illustrate linkages among the behavioral outcomes sought by the system, as well as motivational patterns and personnel processes employed to effect individual and organization congruence. As depicted by Katz, the first circle in Figure 1.6 represents the kinds of behavior required of individuals by organizations. These include: joining and remaining with the organization; carrying out job assignments independently; achieving organization objectives (beyond role expectations) through innovative and spontaneous activity; cooperating with others; protecting the organization against disaster; making creative suggestions; carrying out self-training; and creating a favorable climate.

The motivational patterns described by Katz in the second circle, as inducing desired personnel behavior in varying degrees, include legal compliance—the authority, rules, and responsibility that go along with the membership in the system; the reward system, both monetary and psychic; satisfaction derived by the individual from role performance; and internalization of organization goals by the individual so that they become part of his value system.¹¹

The eleven personnel processes identified in the third circle of Figure 1.6 are those proposed in this text as the basis for designing organizational activities within the personnel function. These are intended to enhance the several motivational patterns for attaining appropriate behavioral expectations. Each of the processes shown in the third circle will be

¹¹ Daniel Katz, *op. cit.*, 131-146.

examined in subsequent chapters in order to suggest its application to shaping appropriate motivational patterns among individuals within the system.

Figure 1.7 has been included to suggest the relationship between the several personnel processes and the achievement of motivational release from within system members. The assumption underlying Figure 1.7 is that the personnel function, properly planned and administered, can make significant contributions to the satisfaction individual members derive from their work, through processes conducive to an achievement climate.

This assumption rests on the belief that motivation forces are inherent in the individual. The primary aim of the personnel process is to assist in the release of the self-generating power that each individual possesses in varying degrees. The motivation to achieve the organization's purposes

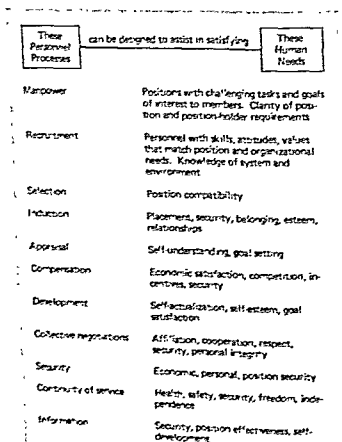


Figure 1.7. Meeting human needs through the personnel processes.

varies among members—in direction, degree of commitment, and reason. Moreover, motivation is affected by forces outside of the individual, including goals, structure, leadership, informal organization, and internal and external environment. The model presented in Figure 1.7 proposes a convenient framework for planning and testing concepts related to the personnel function. Its intent is to provide a theoretical framework in which management thought and action can take place relative to the forces, factors, and conditions that have a bearing on motivation of people within the system.

LEADERSHIP

We are concerned in the following discussion with ways in which leadership is exerted so that the needs of subordinates can be satisfied while they contribute to a purpose that is meaningful to the school system as a whole.

Leadership, a much-abused word, is the prerequisite for related administrative processes such as planning, organizing, and controlling. To *lead*, as the term is used here, is to guide the efforts of subordinates toward attainment of organizational objectives. The leader is one who is able to communicate to others the nature of system plans that are to be put into effect, and the methods designed to achieve them. When plans are implemented, the leader must enlist the voluntary cooperation of subordinates; interpret their work roles for them; make modifications in plans where conflicts arise between goals and plans for achieving them; assess the results of plans; adjust plans to fit changing conditions; and throughout this process seek to satisfy the needs of both the organization and its members. The focus of this discussion will be on the leader, and on the ways and means of need satisfaction.

The view of administration as a process of guiding the activities of people toward achievement of objectives requires that the administrator perform multiple tasks. He helps subordinates find satisfaction in their work, handles conflict, communicates praise and censure, supervises, instructs, promotes self-development of personnel, gives emotional support, sets performance standards and criteria, and stimulates goal-seeking behavior. The administrative behavior involved in the performance of the foregoing tasks is related to the willingness of personnel to cooperate in the achievement of organizational purposes. One of the elements in administrative behavior is the administrator's attitude concerning the nature of people, their abilities, and their relationship to the organization. Two models of leadership, indicating alternative means of dealing with human problems, are illustrated in Figure 1.8.

Success of the organization and leadership style are closely intertwined.

Leadership Styles

Getzels and Guba have suggested that leadership-followership styles can be grouped into three categories:

- *Normative Style*: places emphasis on the requirements of the institution, the role, and the expectation rather than on the requirements of the individual, the personality, and the need-disposition.
- *Personal Style*: emphasizes requirements of the individual, the personality, and the need-disposition rather than the requirements of the institution, the role, and the expectation.
- *Transactional Style*: expectations are defined as sharply as they can be but not so sharply as to prohibit appropriate behavior in terms of need-dispositions. Role conflicts, personality conflicts and role-personality conflicts are recognized and handled. The standard of administrative excellence is individual integration and efficiency, satisfaction, and institutional adjustment and effectiveness.

The transactional style calls attention to the need for moving toward one style under one set of circumstances and toward the other style under another set of circumstances—indeed, it moves from one style to the other—and is therefore least well defined.

Leadership Models

- The *Traditional Model* prescribes close supervision and tight control of subordinates performing narrowly defined jobs. The assumption is that people are basically lazy, uncreative, and concerned only with what they earn, not what they do to earn it. This model anticipates at least minimal performances if the manager constantly exercises tight control.
- The *Human-Relations Model* prescribes a limited amount of subordinate participation in decision-making and limited subordinate self-control. It stems from the assumption that people are essentially loyal and dependable if they feel that they are important to the organization and their work is recognized by their superiors. This model anticipates that limited participation will improve subordinates' morale and need satisfaction and thus make them more willing to cooperate.
- The *Human-Resources Model* prescribes a continually expanding degree of subordinate participation, self-direction, and self-control on the assumption that the creative resources of most organization members are seldom fully utilized and that, given the opportunity, most people will exercise responsible self-direction in the accomplishment of goals they have helped to establish. This model anticipates that subordinate participation will directly improve organizational decision-making and performance and provide deeper satisfaction of the needs of most members of the organization.

Figure 1.8. Illustrations of leadership styles and models. (Left) Getzels et al., op. cit., pp. 145–150; (Right) Raymond E. Miles and Lyman W. Porter, "Leadership Training—Back to the Classroom?" Reprinted by permission of the publisher from *Personnel* (July–August, 1966). © 1966 by the American Management Association, Inc.

Personnel cooperation and concern for responsibilities depend upon positive interaction between administrators and subordinates. Current theory holds that the leadership styles best suited to modern administration are the transactional or situational style (illustrated at the left in Figure 1.8) and the human-resources model (shown at the right). The kind of administrative behavior suggested to realize organizational ends through goal-seeking activities of personnel would concentrate less on the use of power and more on the satisfaction of individual needs.

One of the prerequisites of any effective style of leadership is an understanding of the relationship between the satisfaction of human needs and performance. It has been said many times that one of the key problems in school administration is not that teachers lack motivation, but that administrators lack the ability to nurture it. The nurturing of staff resources includes attention to one of the factors which impacts constantly on unit as well as system leadership—the dissatisfaction of staff members. Some become dissatisfied with the roles they perform, some with the system status quo, some because of lack of recognition, and some because

their talents have gone unnoticed. Whatever the underlying causes of discontent in the school system, leadership should be the first to detect its early symptoms. Timely identification of individual and group dissatisfaction often points to the need for, and the direction of, organizational change, and also provides clues for coping with it.

Indeed, the day-to-day behavior of administrators vitally affects the performance of colleagues. Personnel are quick to detect how the leader feels about organizational intent and formal procedures. The actions of an administrator always convey meaning to those under his direction. The extent to which the leader is committed to achieving the goals of the organization; the activities he pursues to further his own self-development; his inclination to retain responsibilities which he alone can and should perform; his effectiveness in dealing with organizational problems; his willingness to support subordinates; and his efforts to determine precisely the nature and sources of individual and group dissatisfaction (and to initiate constructive efforts for dealing with it), all will be observed by personnel and will condition, positively or negatively, their behavior patterns.

Informal Organization

By definition, *formal organization* is a systematic plan for unifying the activities of individuals to accomplish a collective purpose. It is an administrative design that presupposes purposes, policies, and programs and that indicates planned relationships between positions and functions without reference to specific individuals. It establishes lines of authority and communication, as well as reporting relationships.

Although the formal structure of a school system helps us to understand how the mutually dependent organizational components are supposed to be grouped and arranged, it does not reveal anything about the individual and how he fulfills his role. It is possible, for example, to develop an organization chart before personnel are selected to occupy the positions. This leads to the observation that an organization cannot be fully understood until we learn something about the behavior of the people who fill the positions on the organization chart.

We know that an organization is a social system in which individuals and groups interact with each other. These interpersonal relationships give rise to another system dimension, known as the *informal organization*. Informal structures develop through the interaction of members of a group whose associations are determined by such factors as work location, degree of security, and common interests or values. Common interests, it should be noted, are central to the existence of informal groups.

Informal groups arise and exist to satisfy the mutual needs of members created in part by, but not wholly satisfied through, formal organization. Consider this illustration. Cloudercroft school system developed an indefinite leave-of-absence plan for all school personnel. After the leave plan was in operation for one year, several teachers abused the leave privilege by being absent for what appeared to other professional personnel to be an excessive number of days. Individuals in each of the schools in the system became aware of this situation through the "grapevine." Consequently, they banded together to take informal action against those few persons abusing the privilege. The concerned groups called upon the violators and succeeded in convincing them that continuance of such behavior would jeopardize one of the most generous leave-of-absence plans available to school personnel.

The foregoing example affords further generalization about the informal organization. We note that the informal groups are not established as a result of a plan by the formal organization. They arise from the interaction of people in the performance of work, and depend on an informal communication system. Informal organization is spontaneous, indefinite, and variable. The life cycle of an informal group may be short or long, depending upon how successful it is in attaining its goals.

In effect, the informal organization is a behavior system which operates in a variety of ways to satisfy personal needs. Deficiencies in the formal structure, such as autocratic administration, undesirable conditions of work, lack of grievance machinery, injustice to staff members, and poor compensation, may precipitate formation of informal groups whose goals are to remedy work-related problems.

The informal organization is capable of helping or hindering attainment of a collective purpose. It can work for or against the administration, for example, when efforts are made to introduce changes in policies, procedures, and programs, or when ideological conflicts develop between the organization and its members. The informal organization is a permanent and integral feature of the total organization structure. Because it influences the behavior of personnel as well as the attainment of organizational ends, it is very important that it be recognized as a force in the organization. To deal with the informal organization intelligently, the reasons for its existence must be understood; quite often the circumstances which give rise to it are the product of flaws in the formal organization.

Ideally, the formal and informal organization should complement each other. The informal organization should be construed as a positive rather than negative potential, one which can be relied upon to exert constructive actions for the welfare of the organization. If this is to be the case, however, administration must accept the existence of informal groups; understand the nature of their expectations; help them to pursue con-

structive ends; and redirect those efforts that are not consonant with organizational purposes. In sum, administration should encourage informal organization, recognizing that it is a means through which fulfillment of individual needs and organizational functions can be sought.

Environment: Internal and External

Environment is generally defined as the aggregate of surrounding things, conditions, or influences which affect the existence or development of someone or something. The school system, for example, is shaped by many internal forces and factors. The migration of thousands of citizens from southern and rural areas of the nation to urban centers has created critical educational problems within large-city school systems. Inflation has contributed materially to the rapid increase in the cost of salaries and wages for public school personnel. The use of arbitration procedures by unions and teachers associations has curbed certain administrative rights and prerogatives. Federal and state legislation has changed not only the personnel composition of school systems; it has had, and will continue to have, an impact on employment and training opportunities as well as the entire reward system. Environmental influences that shape the existence and development of school systems are both internal and external. The nature of these influences on the personnel function in school systems is examined briefly in the text following.

Internal Environment

As illustrated in Figure 1.2, the internal environment of a school system consists of five primary factors or dimensions, including purpose, tasks, technology, people, and structure.¹² These factors are interrelated, affect members differently, and form the basis for the personnel function. It has been noted that the *purpose* of a school system will determine to a considerable extent the number and types of people to be employed, the design of the positions, those with whom members will interact, the kinds of continuing education programs to be developed, the educational experiences provided in the instructional program, and the methods of instruction and evaluation.

Task Dimension. The tasks to be carried out in a school system are many and varied. There are routine tasks and there are highly specialized

¹² Howard M. Carlisle, *Situational Management* (New York: American Management Associations, 1973), 19.

tasks, each of which varies considerably in the degree to which it satisfies needs of the position-holder; in the educational preparation, experience, and psychological attributes required for effective performance; and in the nature and extent of supervision employed. Thus, the manpower, recruitment, selection, and induction processes in the personnel function are tied to the *task dimension* of the internal environment. The manpower process designs the positions to be filled and performed; the recruitment and selection processes influence who will enter the system and who will comprise the social system.

Technology Dimension. The technology dimension refers to the plans, procedures, choice of managerial system, ideology, and general know-how employed by the school system to carry out the tasks generated by broad purposes and specific objectives. Knowledge and operations technology include plans the system has for its members, including compensation, security, participation, grievance procedures, academic freedom, approaches to collective behavior, and the other numerous and varied aspects of factors affecting people at work. Technology also includes broad strategies and specific plans for individual schools, allocation of authority and responsibility, the communication system by which all units are linked, and the decision-making process by which the teaching-learning process is shaped, maintained, and adapted to meet changing external and internal forces, factors, and conditions. Technology, then, plays an important role in the extent to which the individual likes or dislikes the role he performs.

The personnel function embraces the total human dimension of the internal environment. *People* as an internal factor constitute about four-fifths of the fiscal resources in the current expense budget of school systems; they determine whether children will have the kind of teaching and learning experiences designed to facilitate their growth and development. Therefore they must be considered the key element in organizational effectiveness. In countless ways, the personnel function assists the system to attract, retain, develop, and create an organizational climate conducive to position satisfaction and career destination.

Structural Dimension. *Structure*, as an internal factor, is important to the individual members of a school system. The teaching and learning activities that take place in a highly centralized elementary school will differ considerably from those in a highly decentralized school. The size of school attendance units, the nature of authority within the units, the extent of formalization, the position specifications, and the social network are structural factors that affect not only what members do, but how and when they do the things that they do. These factors also affect the extent to which the members' work is meaningful, and the extent to which it

provides opportunities for social contacts, performance improvement, vocational maturity, and recognition in various forms for the contributions they make to the system.

One of the premises of sound personnel administration is that the internal and external environments of a school system are constantly changing. If personnel plans are to contribute to the success of the educational enterprise, school executives need to understand the several dimensions of the internal organization, how they are interrelated, and how the internal dimensions can be designed to have maximum effect upon school attendance units and the people employed therein.

External Environment

The external environment of a school system, as illustrated in Figure 1.2, consists of a number of factors: demographic, economic, ideological, political, legal, technological, cultural, and ecological. Thus, the school system is not only affected by the internal environment but must adapt to and attempt to influence those forces, factors, and conditions in the external environment upon which its survival and growth are heavily dependent.

Demographic. The number of people served by a school system, their age and sex, race, religion, and ethnicity are critical demographic conditions in the external environment. The composition of the community has an important bearing on the clients the school will serve, the goals it seeks to achieve, the educational program established to achieve the goals, the manpower employed, the dispersion of facilities, the compensation level of personnel, and the level of fiscal support provided for the system. Since the middle of this century, demographic changes in large metropolitan areas have had striking effects upon their school systems. More and different school clients have created complex learning and teaching problems, resulting in a wave of instructional and supportive innovations, including alternative schools, extension of the range of supportive school services, and staff development programs for personnel at all levels of the system. Developments such as these have not only created personnel problems in school systems, but the manner in which the personnel function is planned, organized, staffed, and operated has been receiving increasing attention. As the need increases in school systems to forecast the number and types of school clients, as the manpower problems resulting from demographic conditions become more pressing, so too the need for modernizing school personnel administration becomes more acute.

Economic. The economy within and outside of the geographic area in which a school system is located is a force to which the organization must constantly respond and adapt. Improving or deteriorating economic conditions have extensive budgetary implications for the personnel function. Economic conditions affect system-union relationships, the quality and quantity of personnel employed, the nature of the staff development programs initiated and maintained, and the general human condition within the organization. Changing economic conditions often affect programs important to goal attainment, leading to conflict with unions, taxpayers, and the local political structure. It follows that the manner in which the personnel function is administered is crucial to the responses of the system to the economic environment.

Political. One definition of politics is that it is a network of interactions by which power is acquired, transferred, and exercised upon others. Thus, power and influence reside in someone or in some office, and they are forces endemic to every organization, both within and outside of its boundaries. When the city council passes an ordinance requiring all public employees (including school personnel) to reside within city limits, the personnel function is involved in dealing with the problem. Election results have been known to change the composition of personnel within a school system, especially in nontenured positions. School personnel lobby politically for legislation that will affect them favorably, especially since the advent of unions into the realm of education. The existence of certain personnel in the employ of a school system may be a derivative of the political process; for instance, the district that has on its payroll employees (tax collections) over whose recruitment, selection, supervision, and related personnel matters it has no control. Facets of the curricula are also often the result of the political process, including emphasis on interscholastic athletics, the school band, and the exclusion of topics or materials relating to sex education and political ideologies. Needless to say, an adequate understanding of the nature (and motivations) of the political power structure is essential to successful administration of the personnel function.

Culture. Culture, as referred to herein, is taken to mean the sum total of ways of living that have been built up by a group of human beings and transmitted from one generation to the next. Although the extent to which the culture of a community affects a school system is difficult to measure, there is no doubt that cultural influences affect the manner in which schools are operated. Demands from various ethnic groups have brought about changes in school personnel employment practices. Predominantly black communities have appealed for the appointment of black principals to schools within their communities; Puerto Ricans have

urged the appointment of teaching personnel with bilingual fluency. Within some school systems, organized ethnic groups exist chiefly to employ and promote their affiliates. The point of this information is simply this: school systems and their personnel subsystems are affected by, and must respond and adapt to, processes, institutions, and forces that are a part of their external environment.

Legal. Of all the external forces affecting the personnel function of a school system, *none is more pervasive and influential than the legal factor.* Federal legislation affecting public employees has been extensive and far-reaching. To give one example, the Fair Labor Standards Act, as amended, is a Federal Statute of general application which establishes minimum wage, overtime pay, child labor, and equal pay requirements affecting employment of all public school personnel.¹³ Hence, the law is a powerful force in shaping educational policies at the national, state, and district level. This is also evidenced by court-made policy on segregation, maternity leaves, resource allocation, special education, and constitutional rights of pupils and teachers; by state legislation governing collective negotiations; and by federal legislation such as the Elementary and Secondary Education Act of 1965, and the National Defense Act of 1958, supporting development of specific curriculum areas at all levels of education. State collective-bargaining laws have been a major stimulus to the growth of unionism in public school systems across the nation. In addition, there are statutes and court decisions affecting virtually every facet of personnel administration including tenure, compensation, retirement, grievance procedures, dismissal, promotion, leaves of absence, selection, recruitment, and retirement. The legal impact on personnel procedures has been so extensive that many school systems have not adapted organizationally to these externally imposed conditions. It is entirely possible that external legal forces will compel school systems to perceive the personnel function differently in the years ahead, and to accord it the support and status long given to the logistics and educational program functions.

Technology. Another dimension, that of technology, refers to the mechanical or technical substance of a task or series of tasks. It consists of tools, techniques, processes, and knowledge that extend human capabilities. Suffice it to say that the advance of technology in the external environment is contributing to modifications of various kinds within school systems. Computers and other data processing machines are being intro-

¹³Section 13 (a) of the Fair Labor Standards Act of 1938, as amended, was further amended by Public Law 92-318, the Education Amendments of 1972, 84 Stat. 235, 86 Stat. 375, approved June 23, 1972 and effective July 1, 1972.

PART II

Organizing and Planning the Personnel Function

Organization of the Personnel Function

Every school system, regardless of its size or pattern of organization, performs a personnel function. People must be recruited, selected, inducted, compensated, appraised, directed, developed, disciplined, motivated, counseled, and accorded those rights accruing to individuals who perform organizational work in modern society. These tasks are ongoing, pervasive, and performed whether their responsibility is allocated to a personnel unit within the central administration or assigned to various administrators within the system. The chapters of this Part (II) of the text develop concepts relating to the organization and planning of the personnel function in a school system. In Chapter 2, organization of the personnel function is considered from the standpoint of the central administration as well as from the attendance units; in Chapter 3, the family of plans that can be employed to make the personnel function an effective and efficient part of the total school system is the focal point of analysis.

Goals and Objectives of the Personnel Function

The goals of the personnel function in any educational system are to attract, develop, retain, and motivate personnel in order to: (1) achieve the system's purposes; (2) assist individual members to achieve position and unit standards of performance; and (3) maximize the career development of personnel. These goals must be translated into operational terms to give direction to those responsible for carrying out the intent of the personnel function. The following is a list of such specific objectives, stated as outcomes:

- Long- and short-range manpower plans.
- Policies to guide the development and implementation of master plans for personnel, and that serve the human needs of those whose lives they touch.

- Recruitment of the quantity and quality of personnel capable of and committed to delivery of appropriate and effective educational services to clients.
- Selection of personnel who meet manpower requirements.
- Appraisal plans to facilitate the development of personnel.
- Continuing education plans to maximize the career development of personnel.
- Reward systems in keeping with objectives of the personnel function.
- Induction plans to help new members and the system accommodate each other.
- An information system to administer the personnel function properly.
- Participatory processes for personnel in matters affecting their interests.
- Coordination and linkages of personnel functions and subfunctions, such as the educational program, logistics, and planning, in order to synthesize plans for integrating individual needs and organizational expectations.
- Relations with formal and informal groups that result in personnel cooperation.

The foregoing expectations are designed to clarify the goals of the personnel function, delineate key subfunctions, and relate processes to the problems having a bearing on the function. It is worth noting at this point that as this nation enters the threshold of the new postindustrial society, these proposed outcomes for the personnel function are yet to be realized in the majority of school systems. Impediments exist to their realization: institutional rigidity and inertia, failure to achieve an identity of individual with organizational purposes, and reluctance to apply technical rationality to human and organization problems. In the text which follows, attention will be given to structural designs for dealing with human and related systemic problems. The personnel outcomes enumerated previously suggest activities related to their fulfillment, and from these a basis for subdividing work to carry out the personnel function can be established.

Structuring the Personnel Function

Organization presupposes the existence of interrelated parts. At the heart of classical organization doctrine is the ordering of parts with similar functions into logical relationships. This concept is illustrated in Figure 2.1, which portrays the administrative and subfunctions of the Goodville school system. The purpose of a scheme such as that shown

in Figure 2.1 is to identify, classify, and interrelate these major functions and subfunctions that must be performed somewhere in the organization if its mission is to be fulfilled. The personnel function, it should be noted, is divided into 11 broad subfunctions, including manpower, recruitment, selection, induction, appraisal, development, compensation, security, negotiations, continuity, and information.

Another way of looking at the foregoing subfunctions is to separate them into decision-making and decision-implementing activities. Certain kinds of decision-making activities are generally held to be the responsibility of the central administration. Policy decisions involving courses of action on such matters as the number of positions in the system, position design, information and appraisal systems, and personnel security are generally formulated by the chief executive, acting in concert with other members of the administrative team and with the board of education. However, policy-making is also influenced by collective behavior within and outside of the system.

Figure 2.2 contains a vertical expansion of the 11 personnel activities identified in Figure 2.1. This type of personnel-area task analysis is useful

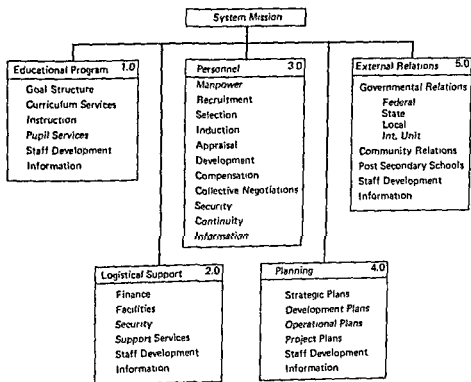


Figure 2.1. Major administrative functions and subfunctions of the Goodville school system.

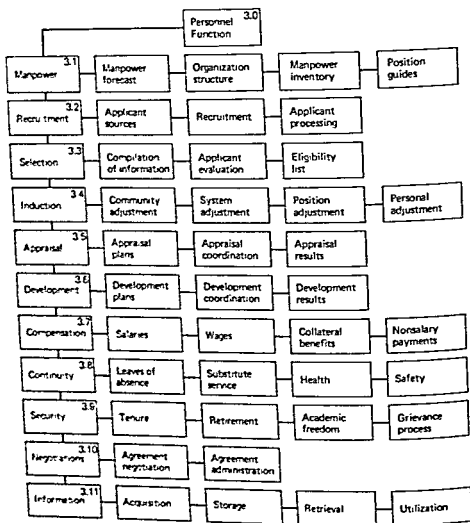


Figure 2.2 Illustration of vertical expansion of the personnel function.

to planners in several ways. It provides the organization with information about the activities needed to plan and carry out work effectively. Such an analysis also indicates whether tasks to be performed are sequential, and to what extent they are interdependent with those required by other subfunctions of personnel administration. Knowing the content and task of each subfunction does something else for the planner—it gives him insight about the manner in which the tasks can be efficiently designed and integrated into positions.¹ As noted previously, certain of these per-

sonnel tasks will be carried out by the central administration. Other tasks, especially those of a decision-implementing type, will be the responsibility of unit heads such as principals, department heads, and team leaders. Recruitment of personnel, for example, may well be a task allocated to the central administration. Selection of personnel, however, is frequently decentralized.

Another administrative derivative of personnel task analysis is that it provides information for fitting each function into the organization structure, for coordinating the planning and decision-making relating to the function, and for evaluating both individual and system performance in terms of personnel expectations.

The task analysis just referred to will also suggest the need for tools needed to perform the function. The collecting, recording, storing, retrieving, and the effective utilization of personnel information may well be facilitated by the use of computers and other types of data processing machines. Although payroll processing is a logistics function (Figure 2.1), the information needed for this purpose is a personnel function. This point illustrates linkages between functions and the applicability of tools to task fulfillment.

Fitting the Personnel Function into the Structure

Structuring of the personnel function depends upon a number of variables, such as the nature of the existing plan of organization, the size of the system, the size and deployment of the administrative staff, and the views of the board of education regarding the importance of human resources.

A variety of plans for delegating responsibility for administering the personnel function in a school system include the following:

Type A. Responsibility for the personnel function is considered to be a joint effort among all administrators in the system. This plan includes a staff unit for personnel in the central administration which renders advice and service to the central administration as well as to all attendance units within the school system. In addition, all administrators share certain responsibilities in implementing systemwide personnel plans.

Type B. Total responsibility for the personnel function is delegated to a line officer, such as the assistant superintendent for instruction.

Type C. Responsibility is delegated to a staff unit in the central administration, headed by an assistant superintendent for personnel, whose unit renders advice and service to other system units.

Type D. Responsibility is delegated to a committee of central office personnel, each of whom is responsible for performing certain aspects of the personnel function.

Type E. Responsibility for personnel function is divided between the superintendent (for professional personnel) and the assistant superintendent for logistics (for service personnel).

Type F. Personnel operating processes are assigned to an administrative assistant to the chief executive.

The existence of the variety of patterns for structuring the personnel function is the product of many factors—ideological, economic, sociological, and psychological. Although no universal model exists for structuring the personnel function in all districts, there is considerable agreement in theory, and among practitioners, that premises underlying organization of the personnel unit should include the following:

- The personnel function should be designed to include all individuals, regardless of their role, involved in any of the system's work.
- All administrators are involved to some extent with the human factor. Thus, the performance of the personnel function should be shared jointly by both central and attendance unit administrators.
- The personnel function should be functionally organized, as illustrated in Figure 2.3.
- The personnel function can be subdivided into processes such as manpower planning, recruitment, selection, and so on (Figure 2.3).
- Activities of the personnel function may be assigned both to the central administration and to attendance units.
- Responsibility of the central administration and the attendance units needs to be clearly differentiated.

Delineation of areas of authority and responsibility in the performance of the personnel function is the focus of the following text.

Central Administration Responsibility

In considering the structuring of the personnel function and the delegation of authority and responsibility for planning and controlling that function, analysis of Figure 2.4 will be helpful. The purpose of Figure 2.4 is to illustrate that personnel processes are derived from overall objectives and policies established at the highest level of the school system in order to guide administrators in the performance of the personnel and other major functions. The aims structure, according to Figure 2.4,

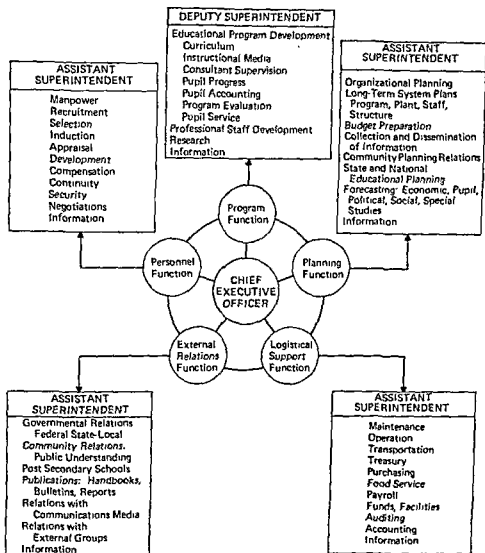


Figure 2.3. Illustration of the general functions of the superintendency and homogeneous activities related to each function.

makes possible establishment of an organization structure from which personnel processes are derived.

Responsibility for designing the aims structure, organization structure, and personnel process belongs to the superintendency team (the chief executive and his immediate subordinates, including the assistant superintendent for personnel). The team is responsible, through the chief executive, for proposing system plans, programs, policies, procedures, and processes governing key organization functions, including the per-

partment heads. These positions have been granted authority to take action, and to make decisions. Staff, on the other hand, render assistance and advice to administrators with line authority.

Evidence at hand indicates that most school systems do not have systemwide personnel positions and that such positions are established in the central administration only when the number of personnel is considerably larger than that in nonpublic enterprises, where personnel departments are often formed when organizations contain 200 or more employees.

One way of examining the problem of whether or not to include a central staff position for personnel in a school system is through the staff adequacy assumption. Simply stated, this assumes that for every 1,000 pupils enrolled there should be a *minimum* of fifty professional personnel. Thus, a hypothetical school district with an enrollment of 4,000 pupils should have at least 200 professional employees. When classified personnel are taken into consideration, this district would have close to 300 members. If one considers the ramifications of performing, without proper organization, all of the personnel processes listed in Figure 2.1 for this number of school employees, the conclusion is inescapable that the function will be inefficiently handled.

It is quite possible that the reason the personnel function is not better organized in school systems is that its importance to the success of the enterprise is not always fully grasped by board members and administrators. It seems unnecessary to belabor the point that the personnel function is a vital part of school administration. It is not only responsible for staffing the enterprise on a continuing basis; decisions relative to personnel have a major impact both on the size of the budget and the quality of the educational program. To illustrate the importance of the personnel function in determining the budget: nine out of every ten current budget dollars are expended on personnel. Seen in perspective, this investment by a community to staff its schools is sizable. The lifetime income of a first-year teacher is currently estimated at more than \$500,000. When collateral benefits paid for by the school system are added to this figure, the magnitude of the community investment is even more substantial. Thus, personnel administration takes on added importance when viewed from a fiscal standpoint, for it is in this area that the potential for waste and inefficient use of school funds is greatest.

Failure to employ competent personnel is an educational waste as well, because staff competence and quality of instruction are closely related. The retention of incompetent staff members represents a composite educational and economic loss to society; it adds up to a poor investment, for additional supervision is generally required for those whose performance is less than satisfactory. The ultimate consequence of employing personnel who are not professionally qualified is a compounding of losses in

time, money, effort, and educational opportunities. Personnel decisions so completely permeate every aspect of the school system, and are so vitally related to educational outcomes, that they must be regarded as the administration's primary concern. It is not generally understood just how extensive and diverse the personnel decisions involved in administering a school system are. For every position to be filled, whether professional or not, decisions are needed as to the nature of the work to be performed, the qualities needed for its performance, and its economic value. Plans for locating, selecting, inducting, developing, and appraising persons involve a variety of judgments and actions. Moreover, there are policies and procedures to be established regarding leaves of absence, union relations, academic freedom, health, grievances, tenure, and retirement. In short, continuous movement of personnel into and out of school systems requires plans which will ensure that the problems engendered will be given constant and systematic attention.

STAFFING THE UNIT

Staffing a personnel unit located in the central administration of a school system begins with the appointment of a qualified administrator who is responsible to the chief executive for carrying out the activities assigned to the unit. If the school district is small in terms of numbers of people employed, the chances are that the staff of the personnel unit will consist of the operating head and clerical staff. In larger school districts the personnel unit will probably be divided into sections responsible for employment, records and reports, and other activities related to the function. This suggests that the number of persons assigned to the personnel unit depends, in addition to organization size, upon the kinds of activities for which the unit is responsible. Growth of the system, extraordinary time and effort involved in negotiating and administering union contracts, expansion of recruitment and development programs, and multiplication of functions allocated to personnel departments are illustrative of other factors that determine the size of the personnel staff.

Role of the Personnel Administrator. In order to conceptualize the manner in which the personnel administrator carries out his role in the school system, it is useful to refer both to the administrative and operating processes involved in performance of the personnel function, as shown in Figure 2.5. The essence of Figure 2.5 is that personnel administration involves planning, organizing, directing, and controlling the operating processes. The administrative processes enumerated in Figure 2.5 are performed in all types of organizations. The following list exemplifies

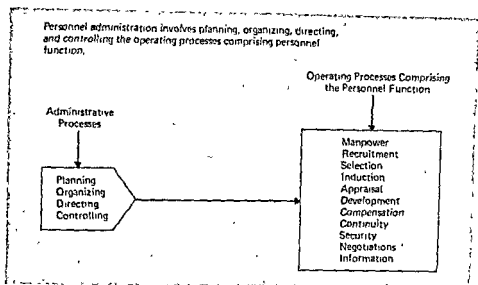


Figure 2.5. Conceptualization of the administrative and operating processes involved in performance of the personnel function.

problems involved in each of those processes as utilized by the personnel administrator as well as other school executives.

Process	Problems
Planning	What are the present and future goals and subgoals of the organization? What plans of action should be developed to attain the goals? What policies, processes, and procedures are necessary to guide the plans of action?
Organizing	What activities are required to attain the goals and subgoals? How shall the activities be grouped? How shall personnel be grouped into technically viable units?
Directing	How shall personnel be motivated to perform in a manner that contributes to goal achievement? How can the diverse efforts of people be synchronized so that the work is performed according to plan?
Controlling	Do individual and organizational performances conform to plan? Where are the weaknesses? How can they be corrected?

In summary, analysis of the processes and problems involved in central administration of the personnel function suggests the following generalizations:

- Personnel activities are numerous and varied.
- Many of the tasks are of a specialized nature.
- Administrative personnel are involved extensively in the conduct of the function.

- Numerous decisions concerning personnel are required at different operating levels.
- Detailed planning is necessary to administer the function.
- The personnel function interacts with and is closely related to all other administrative functions.

It goes without saying that unless the significance of the personnel function is understood by the board of education, the chief executive, and his immediate subordinates, and unless the key personnel position is filled with an experienced, knowledgeable, professional staff member, the prospect of attainment of the ends for which it is designed is not encouraging. During the last quarter of the twentieth century, the key personnel officer will need to help the organization respond to the needs of minorities seeking employment and career opportunities, to a changing role for women, to the differing attitudes of the new professionals entering the profession, and to the extensive federal legislation now governing personnel in the public sector. Only if the appropriate individual is selected for the position under consideration is it likely that competent subordinates will be chosen; that the personnel unit will be soundly structured and staffed; that the personnel function will be properly integrated into the decision-making and executive machinery of the system; that changing personnel needs and emerging problems will be anticipated and dealt with satisfactorily.

LINE-STAFF COOPERATION

The purpose of an organization structure, it has been noted, is to develop an orderly arrangement of functions to achieve the goals of the system. It has been suggested, too, that one type of structural arrangement which would facilitate the conduct of the personnel function is the creation of a staff unit in the central administration. The general idea behind any staff unit, position, or function is that it is intended to be advisory and facilitative. The personnel function, for example, has been separated from instruction (a line function) in Figure 2.1 so that the purposes of the unit might be clearly understood and facilitated. In a well-structured organization there should be no question that a staff administrator such as the assistant superintendent for personnel has authority that is restricted to personnel activities.

Staff work in a school system, such as logistical support or personnel services, is delegated to administrators not directly involved in the instruction function. Staff units are considered to be outside of the hierarchical line of authority, which flows downward from the superintendent, through the assistant superintendent for instruction and prin-

cial, to department head. Staff work has only one real purpose, to assist administrators to perform their roles effectively by rendering advice and service to them. But unless steps are taken to clarify the roles of line and staff administrators regarding personnel activities throughout the organization, there will be constant and unnecessary conflict. How difficulties might arise through lack of clarification on personnel matters becomes evident upon examination of the exercise shown in Figure 2.6. The point of the exercise is to bring into focus the need for clarifying which administrators perform what administrative tasks relating to personnel. The illustration also makes it possible to draw two important inferences about the assignment of personnel tasks to administrators in a school system: (1) every administrator has some responsibility for selected activities in the personnel function; (2) the head of the personnel unit fulfills a variety of personnel roles. This official may, for example, recommend to the superintendent of schools the types of policies that should be adopted for the selection of personnel; may also design, for approval, the

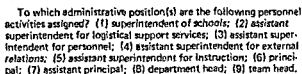
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Figure 2.6. Planning grid for allocating personnel responsibilities.

processes to be employed in the selection of teachers; and may perform operational work by giving, scoring, and interpreting teacher-selection tests. Keeping these roles from conflicting with the line or other staff functions is an administrative problem of considerable complexity, one that is usually associated with a major weakness of the line-staff type of organization.

The key to clarification of the role of the personnel administrator is the meaning of the terms *advice* and *service*, for these words are universally used to describe the nature and scope of staff work. Figure 2.7 has been prepared to illustrate a method of analyzing the work of the assistant superintendent for personnel in a school system. As conceptualized in the illustration, the assistant superintendent for personnel is directly responsible for the manpower planning, recruitment, personnel service, and personnel security processes. Examination of the content of the chart indicates that the personnel executive actually may be assigned two kinds of work, staff and operating. Staff work consists of providing tentative solutions to personnel problems for consideration by superior, coordinate, and subordinate administrators. Operating work, on the other hand, includes the actual performance of certain work connected with the personnel function. The value of a chart such as the one shown in Figure 2.7 is that the nature and scope of the personnel function can be clarified, and responsibilities of each of the administrators in both staff and line

Personnel Processes		Manpower	Recruitment	Selection	Induction	Development	Compensation	Appraisal	Continuity	Security	Negotiations	Information
Advisory and Coordinative Activities of the Assistant Superintendent for Personnel												
A. Advisory (Advice and Service to Superior and Associates)												
1. Collects and interprets data on effects of systemwide plans		x	x	x	x	x	x	x	x	x	x	x
2. Identifies alternative solutions to problems		x	x	x	x	x	x	x	x	x	x	x
3. Advises superior and associates on planning needs		x	x	x	x	x	x	x	x	x	x	x
4. Advises line and staff on implementation of plans		x	x	x	x	x	x	x	x	x	x	x
5. Prepares operational plans for superior		x	x	x						x	x	x
6. Informs superior of effects of plans		x	x	x						x	x	x
7. Interprets plans to all personnel		x	x	x	x	x	x	x	x	x	x	x
B. Coordinative (Coordinates Work of Associates)												
1. Coordinates systemwide operations		x	x							x	x	x

Figure 2.7. Position analysis of the assistant superintendent for personnel, Goodville school system.

positions defined. A more detailed method of clarifying the duties assigned to the personnel function and other functions might employ a personnel organization manual containing forms that break down each of the personnel processes—such as recruitment, selection, and induction—and that specify who is responsible for the performance of the major activities and subactivities in each process. The component forms might serve as process guides for linking the responsibilities, duties, and relationships of administrative positions to major personnel processes or areas.

Relationships of the Personnel Function— Upward, Lateral, Downward

It is axiomatic in organizations that positions are interrelated with and mutually dependent on other positions for achievement of position objectives and organizational effectiveness. Hence, the personnel unit cannot function without taking into consideration the structure of the organization. The work assigned to it depends to a considerable extent on the chief executive's expectations of the function, the work he assigns to it, the funds and manpower allocated to it, and the leadership he exercises in helping to make it effective. Similarly, the personnel unit in the central administration is related to and is dependent on the logistics, instruction, planning, and external relations positions. The major relationships of the personnel function will be summarized briefly in the following paragraphs.

UPWARD RELATIONSHIPS

The chief executive will expect certain things of the personnel unit, and the personnel unit will expect certain things of him. The superintendent of schools will probably expect to receive from the personnel unit advice and service relating to the plans, policies, procedures, and processes for administering the personnel function on a systemwide basis. He might also expect information and advice concerning specific personnel problems and issues: why they have arisen, and what proposals are suggested for their solution. If, for example, either a manpower shortage or surplus develops within the school system, the personnel administrator advises the superintendent of schools on what should be done to resolve the problem. In turn, the personnel administrator needs backing from the chief executive in the initiation and maintenance of systemwide personnel

plans, policies, and processes which have the approval and authorization of the board of education.

LATERAL RELATIONSHIPS

Immediately below the superintendent are several key executive positions at the same level in the hierarchy as the assistant superintendent for personnel (see Figure 2.3). Among these, two positions, the assistant superintendent for instruction and the assistant superintendent for logistical support, are closely involved in the personnel function and depend heavily on the assistant superintendent for personnel to provide advice and service to them so that they may deal effectively with the variety of personnel problems with which they are constantly confronted. The assistant superintendent for instruction is the central figure in decisions relating to the quality and quantity of professional personnel to be employed. The number, types, and employment standards of classified personnel often require the recommendations of the assistant superintendent for logistical support services. In addition, any combination of centralized recruitment and decentralized selection processes will certainly require interaction among all staff and line administrators before concurrence can be expected. The point is that the personnel administrator must win the respect and cooperation of his associates if he is to be successful in improving the general effectiveness of the school system and in facilitating constructive interaction of its personnel.

DOWNWARD RELATIONSHIPS

The building principal is the administrator closest to center of the instructional process and to the personnel problems it constantly generates. Teachers must be recruited, selected, inducted, appraised, transferred, dismissed, disciplined, retired, provided with grievance machinery, given continuing education opportunities, assured academic freedom, and granted leaves of absence. Many of these problems are dealt with through systemwide approaches, the designs of which involve both the personnel administrator and the principal. The central personnel unit depends upon principals for information on the impact of system personnel plans. In short, the stability of the organization is dependent upon the interaction of principals and the personnel administrator in the central office.

What we have just said concerning relationships of the personnel function with other operating units in the school system must not be construed as a complete list. Many other interactions and interde-

dependencies permeate personnel activities. The personnel unit interacts with informal groups, with unions, state departments of education, universities, pressure groups, and so on. It may be said with assurance that the organization and administration of the personnel function can contribute materially to linking together the parts and systematizing relationships in a school system. Thus, when the personnel function is structured, consideration needs to be given not only to the best methods of getting organizational work done, but also to the needs of the individual staff member.

Attendance Unit Responsibility

An attendance unit or center is defined as a subdivision of a school system consisting of the territory from which children may legally attend and within which a school has been designated as the attendance center. As such, attendance units are major operating units of public school organizations. As decentralized units within the school system, they are administered by the principal and his staff, referred to herein as the *principalship*. The *principalship*, it should be noted, is the level at which:

- Most of the operating decisions will be made as to implementation of the educational program.
- Primary goals of the educational program are activated.
- Subgoals and the methods for achieving them can be identified.
- Experiments and innovations in the educational program are initiated.
- Plans are developed for the continuous, unbroken progression of all learners.
- Teachers are motivated to make efficient use of time, materials, and methods.
- Teachers become participants in the curriculum-planning process.
- Decisions are made as to what should be accomplished in the classroom in a day, and for longer periods of time.
- Most of the personnel problems develop.
- Most of the professional personnel are located.
- Most of the pressure exists for accountability.
- The negotiated contracts become operational.
- The interaction of the attendance unit with the community is readily apparent.
- The needs of personnel are discerned, understood, and made known to the central administration through upward communication.

STRUCTURAL RELATIONSHIPS

The hierarchical problem of relationships referred to earlier is one of developing coordination and cooperation between the attendance units and the central administration. This calls for arrangements that clarify the roles of the central administration and the attendance units with respect to the major system functions. Ideally, attendance units should have a high degree of self-sufficiency and should depend upon the central administration only for the performance of those functions that the former cannot undertake effectively.

In general, the primary roles of central administration encompass planning, policy-making, and appraisal of results. The attendance level, on the other hand, concentrates on creative ways of putting into effect the broad plans developed by the higher echelon. Each attendance unit focuses attention on that particular segment of the educational program for which it is responsible, and integrates its plans with those of other attendance units and those of the central administration. According to Reller:

School systems will consciously be decentralized. In line with this policy, the principal and staff of each school will be encouraged to develop, in cooperation with the people and other agencies of their school community, a school with a unique quality and life. The schools of a given neighborhood area will join in their efforts in this regard. The administrators located either in the central office of the system or in a divisional (geographic) office will be seen as the stimulating and coordinating agency through which planning, research, and educational development are carried forward. The system will concentrate attention upon securing a high level or quality of approach to problems rather than to uniformity in practice. Emphasis will be upon the identification and study of problems confronting the children and the school, to the development of programs in light of this study, and to evaluation of results. The central office (or its divisions) will provide stimulation and assistance in this effort and will encourage the coordination of the work of various schools and the coordination of the work of the schools and other agencies.²

Guidance, psychological, and specialized services of various kinds are attached to the attendance unit proper. Personnel from the central office are available only when it has been established that the central administration can provide the service more effectively than the attendance unit. Where this arrangement is effected satisfactorily, it should help to minimize problems stemming from relationships between central office and attendance unit personnel.

² Theodore L. Reller, "A Comprehensive Program for the Preparation of School Administrators," in *Preparing Administrators: New Perspectives*, ed. by Jack A. Culbertson and Stephen P. Hencley (Columbus, Ohio: University Council for Educational Administration, 1962), 106.

ADMINISTRATIVE STAFFING IN THE ATTENDANCE UNIT

It has long been the hope of school districts: (1) to make it possible for principals to perform their primary responsibility—supervision of instruction—and; (2) to staff attendance units in a manner that would make them less dependent on the central office for specialized help. Solutions to both problems have been delayed in many instances because of failure to staff attendance units adequately. The intent of the structural designs shown in Figure 2.8 is to suggest ways of relieving administrative staffing inadequacies in attendance units. The reasoning on which the designs are based is that the principal needs administrative assistance, sufficient in quality and quantity, to perform all of the functions of the office effectively. Structural arrangements such as those suggested should enable the principal to become actively involved in directing the teaching-learning process, assessing its effects, and planning day-to-day and long-term adjustments.

Regarding administrative staffing designs suggested for the senior high school, an explanation is in order. The plans anticipate the possibility that, for a variety of reasons, secondary schools will enroll considerably more pupils than did those schools existing in the first half of the twentieth century. Moreover, activities generated by curricula in a larger high school will be extensive—so extensive that the principal will need administrative assistance if he is to rise above office routine and to exercise his role as leader. Today's high schools are far different than their predecessors—in program, staff size, pupil enrollment, and in pressures from within and outside of the organization. It would be ill-advised, it would seem, to plan a modern educational plant without staffing it properly in order to realize the goals of the system. Designs for the senior high school shown in Figure 2.8 indicate methods of departmentation to distribute the major functions among administrative personnel. These include funds and facilities, student behavior, and allied activities. Although the administrative staff of the middle school depicted in Figure 2.8 is not identical with the senior high school staffing plan, there is no reason why the middle school should not be staffed in terms of the functions listed in the foregoing if the enrollment is comparable to that of the high school. The designs in Figure 2.8 call for administrative assistance to the principal, regardless of school size or level. The concept of the teaching principal or the nonteaching principal without administrative assistance now seems as rudimentary as the buckboard, the flail, and the hand saw.

Developing an adequate administrative staff in order to free the principal to concentrate on the direction of teaching and learning also calls for modification of the behavior of the principal. It would be pointless for the principal to continue to perform routine, mechanical, supportive tasks

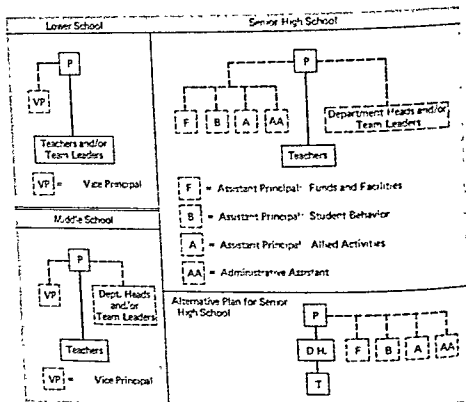


Figure 2.8. Illustration of plans for organization of the principalship.

when he is provided with personnel to relieve him of these responsibilities. This leads to consideration of staffing attendance units to achieve the goals of the educational program. The following discussion focuses upon such crucial staffing factors as adequacy, deployment, utilization, and principal-staff relations.

STAFFING THE ATTENDANCE UNIT

It was suggested earlier that attendance units are the major operational units of public school organizations. As decentralized units within the school system, they are administered by the principal and his staff, which we will call the *principalship*. The principalship, like the superintendency, is a team rather than a one-man operation. The primary function of the principalship is to guide personnel within the attendance unit toward achievement of organizational objectives. This means that the work of the attendance unit must be accomplished through people, and that the principal and his staff will be involved constantly in getting per-

sonnel to cooperate voluntarily. Two major tasks have already been identified with the principalship:

- Activating and improving the educational program within the attendance unit.
- Planning to staff the attendance unit so that, to a considerable extent, it is self-sufficient.

In order to deal constructively, with the foregoing aims, the principalship will need to assume many responsibilities, some of which are

- Formulating, defining, clarifying, and interpreting to the pupils, staff, and community the objectives of the educational program, both systemwide and in the attendance unit.
- Helping personnel within attendance units to make adjustments to plans, positions, and expectations.
- Cooperating with other organizational units and levels to improve the educational program.
- Developing, defining, and applying standards of performance for pupil and teacher personnel in relation to the educational program.
- Proposing modifications in plans, programs, and procedures.
- Resolving conflicts arising from role ambiguity and from organizational stress.
- Making organizational democracy work.
- Establishing cooperative relationships between the attendance unit and the community it serves.

The foregoing list makes it clear that the principalship is the scene of considerable organizational action. What is also clear is that the principal is highly dependent on the attendance unit staff to make the educational program a force for improving the education of children. The staff must be sufficient in size, deployed effectively, utilized properly, and led with competency to achieve organizational purposes.

The Principal and the Personnel Function

The principal of an attendance unit is probably the most important administrator in the school system in terms of achieving effective utilization of human resources. The obligation for performing both the routine and nonroutine aspects of the personnel function resides with and upon this member of the administrative team. Responsibility for implementing the personnel processes through day-to-day directions of the attendance unit can be illustrated as follows:

<i>Process</i>	<i>Example of Principal's Relationship to Process</i>
Manpower	Forecasting attendance unit staffing needs. Assisting personnel director in designing new, or modifying existing, positions.
Recruitment	Providing information to central administration on position vacancies, i.e., position-person requirements.
Selection	Selection of attendance unit personnel.
Induction	Assisting new position-holders to adapt to position, system, and community.
Appraisal	Appraising performance of unit personnel.
Development	Assisting personnel in career development.
Compensation	Determining personnel performance increments.
Continuity	Maintaining leaves-of-absence procedures.
Security	Maintaining grievance plans.
Negotiations	Carrying out the contract agreement and providing information to central administration.
Information	Providing performance feedback to school staff.

Analysis of the relationship of the principal to each of the personnel processes indicates that his personnel role in dealing with his colleagues is one of considerable importance in creating loyalty, achievement, and satisfaction. The leadership influence of the principal on human resources and the style by which it is exerted is the subject of the discussion which follows.

STAFF RELATIONSHIPS

The success of an organization is dependent on the collective performance of its individual administrators, the people who direct the work of the school staff. The individual administrator, such as the principal of an attendance unit, must obtain the voluntary cooperation of his colleagues. Leadership is a very personal process between two people, in which the one attempts to guide and motivate the other to make plans for achieving the aims of the school system. Exactly what happens in this relationship is very interesting. How does the leader influence the behavior of personnel so that it results in effective pupil achievement? Some facets of this relationship follow.

Matching People and Positions. One of the principal's major functions in implementing educational plans is to match personnel and positions as closely as possible. The principal knows the task requirements of each position intimately, and tries to place in them personnel who can perform competently. And the principal takes action when the person and position are not compatible—he helps the person to achieve competence in that position, or replaces or transfers him to another position. Contrary to popular opinion, not all teaching positions are alike. With the increasing

demand for specialization, greater variation in personnel qualifications will develop among positions. Of considerable use to the organization in matching men and positions is the position guide, which contains explicit specifications for each position and the relationships involved in the position. One facet of the leadership function of the principal, then, is knowing what kinds of work will be performed under his jurisdiction, and what the requirements and relationships are for successful performance in each position. Constant supervision by the leader is required to ensure compatibility between person and position.

Knowledge of Subordinates' Characteristics and Capabilities. If the principal expects to influence the behavior of subordinates to perform effectively in carrying out system plans, it is necessary to know the characteristics and abilities of staff members. Not only is this important in matching positions and personnel, but it is also basic to maintaining a positive relationship between leader and staff. Having such information, the leader is in a better position to know to whom specific tasks can be delegated, to understand more readily the behavior of staff members, and to plan a development program for each individual, one that will nurture his strengths and correct his weaknesses.

Position Orientation. Each position in the school system has some relationship to system purposes. The leader can perform no more effective service, when attempting to guide and motivate subordinates, than to help orient individuals to the content and context of their roles. One of the greatest criticisms of educational institutions is that they do not concern themselves enough with definition of system and subsystem goals. The superior's responsibility to each member is to help each to understand the expectations of the position, those of the unit, and those of the total school system. An individual is more secure when he understands the position expectations as defined, how these are to be achieved, and how his accomplishments will be assessed. As a matter of fact, the relationship between principal and staff member is based upon the expectations of the staff position. Once the subordinate's relationship to the goal structure is established, the superior's concern is to help the subordinate fulfill the expectations; it is the subordinate's task to develop skills, knowledge, habits, and attitudes to perform the role effectively.

Staff Development. A highly significant facet of every leadership role is staff development. In other words, a positive approach toward influencing the behavior of subordinates is through action aimed at their self-realization. It is reasonable to assume that every individual in the organization wants to succeed in fulfilling system expectations. The leader's role is to make this possible. Knowing each subordinate's char-

acteristics and abilities, the leader will have an inventory of staff needs that can be used as a basis for a staff development program. Opportunities will be planned in the program for some members to become more effective in performing the work in existing positions; for others, plans will be made to prepare them for greater responsibilities. A staff development program is one important means of helping each individual to satisfy his needs for status, recognition, and professional and personal growth.

Performance Appraisal. Although the performance appraisal function will be examined in detail in Chapter 9, it is worth emphasizing at this point that the inevitable *organizational process that requires a principal to put a value on the ability of a staff member* represents an excellent opportunity to improve their working relationship. There are many reasons for appraising individual performance; one of the most important is to improve the individual effectiveness of each staff member so that he contributes maximally to the attainment of purpose. Both the organization and the individual are helped by appraisal. The organization, through the appraisal process, is able to communicate to individuals the general goals of the system, the specific objectives of the individual's position, the plans made to support the individual as he performs his role, the standards of performance the organization has established, the criteria it will employ in assessing performance, the information it will gather to make the evaluation, and the steps it will take to improve individual effectiveness.

The individual will be helped by the appraisal because it provides information and advice on changes that may be needed in performance. There is also value in the appraisal process for both parties because the individual has an opportunity to feed back to the principal facts and feelings about the educational program, especially the obstacles that prevent more effective individual performance. The face-to-face relationship, then, helps create better understanding between the principal and his colleagues.

Supervision. Of the various means considered for creating a positive relationship between principal and position-holder, supervision must be regarded as one of the most powerful. It is through the supervisory process that positive or negative relations are fashioned, that guidance from the principal is accepted or rejected. And it is through the supervisory process that the administrator conditions members to try to attain goals, learns about their problems, and finds opportunities to render assistance that will contribute to solutions.

The supervisory process provides numerous opportunities for leaders to exercise administrative behavior that will foster voluntary coopera-

tion. Although the superior-subordinate relationship is too personalized to permit categorical statements about the precise kind of behavior needed to make it productive, several observations are illustrative:

- Individuals in every organization go through an employment cycle—from the probationary period through retirement. During this term people have different needs which must be satisfied. The probationer needs to understand, for example, the purposes, responsibilities, and relationships of his position. The individual within several years of retirement has different needs and interests. Because the attitudes, abilities, and feelings of personnel are constantly evolving throughout the employment cycle, the actions of a superior should fit the different individuals under his jurisdiction. The kinds of assistance, direction, appraisal, rewards, and discipline needed will differ; so must the supervisory approach. The unity an organization seeks will be lacking if the relations between unit heads and staff members are not continually adjusted as the work to be done and the people responsible for doing it change.
- Organizational analysts contend that "any form of human work can be transformed and any job can become a way of meeting man's needs for self-development."² Although the statement will not go unchallenged, it stands as an exciting ideal to every administrator interested in improving his administrative behavior by giving help to his staff. Two means of transforming work into satisfying experiences are position enlargement and position variation. The insightful administrator continually seeks ways to vary the kinds of work an individual experiences in the educational organization. The first-grade teacher, for example, need not stay in the same school, same room, same position for forty years. Position enlargement calls for ways of utilizing the skills of members that will contribute not only to organizational improvement but to individual self-development as well. The classroom teacher's role may be expanded through various assignments and participatory processes as means of work transformation.

Group Work. The quest for ways by which groups can be organized to benefit both the institution and those who perform its work has been an interesting administrative development. So extensive is the effort to apply the findings of group processes to educational administration that school personnel rarely experience a working day without some form of group involvement.

² See Bertram M. Gross, *The Managing of Organizations: The Administrative Struggle*, Vol. 2 (New York: Macmillan Publishing Co. Inc., 1964), 813.

The term *group processes* is construed throughout this discussion to mean the face-to-face participation of school personnel who come together in small groups to perform a service or task related to the operation of the school system. Although there are numerous kinds of groups formed in a school system—including conferences, assemblies, seminars, workshops and faculty and administrative meetings—the emphasis in the following discussion is on small work groups and committees. Functions of such groups, their significance for the organization and the individual, their limitations, and administrative implications will be examined in turn.

Functions of Groups. The universal administrative practice of forming groups to facilitate the work of school systems stems from a variety of reasons. These include growth in size and complexity of school organizations, the need to adjust educational programs to the realities of social change, the necessity for developing improved means for securing personnel cooperation, and demands for democratization of the administrative process. In addition, it should be noted that the work of a school system is centered largely on professional personnel, upon whom the institution depends heavily for the creativity essential to educational change.

Involvement of the staff in organizational problems has led to substantial increases in the number of groups and in the frequency with which they meet. General functions which groups are asked to perform are indicated in the following list:

<i>Function</i>	<i>Illustrative Activities</i>
Planning	Designing educational specifications for a new school building; formulating a systemwide development program for personnel.
Evaluating	Evaluating the effectiveness of a course of study, a curriculum, or the existing compensation structure.
Communicating	Explaining the provisions of social security and retirement to members of the school staff.
Advising	Recommending essentials of policies governing academic freedom.
Educating	Acquiring and interpreting to staff information about trends in secondary-school mathematics.

The results achieved through the use of small groups to perform these functions vary widely between, and even within, school systems. Group productivity depends upon many things, including the competence of its members, the nature of the processes employed, the extent to which groups are permitted to use initiative in solving problems, and adminis-

trative integrity in dealing with group suggestions, decisions, or recommendations.

Significance of the Group to the Institution. There are many beliefs as to why the school organization should foster participation of groups in the conduct of its affairs. It is widely held, for example, that the most practical approach to securing personnel cooperation is by involving them in the conduct of school affairs. Other benefits said to accrue to the organization when groups are properly organized include the development of better understanding of organizational goals, more effective solutions to problems, encouragement of creativity, improved motivation and morale, opportunities for the identification and development of leadership, and better communication.

Significance of Group Work to the Individual. Group activity within the institution offers considerable opportunity for satisfying the social wants of the individual. Under appropriate conditions, the group environment is conducive to individual expression, innovation, and development of creative capacities. The group can serve as a medium through which the individual can contribute ideas and suggestions for improving the way things are done in an organization, and for correcting what he believes to be its shortcomings. It is the avenue by which he helps and is helped by his colleagues; it is a means for gaining recognition and status; it can increase his aspirations. The group is potentially useful to the individual as a learning laboratory where he gains skill in communication and cooperation, comes to see the problems of the institution in a different perspective, extends his interpersonal relations, and obtains a broader view of the institution and his role in it.

Personnel Participation in Decision-Making. Psychoanalyst Jules Masserman has noted that leaders must fulfill three functions: provide for the well-being of the led, provide a social organization in which people feel relatively secure, and provide them with one set of beliefs.⁴ Staff participation, then, is a form of group work through which the principal can resolve various organizational problems, including clarification of the mission of the attendance unit and plans for organizing the unit to implement systemwide plans. The faculty meeting should also be considered an instrument through which some of the needs of the faculty can be met, both individually and collectively. In addition, organizing the attendance unit so that staff participation in decision-making is standard procedure can enhance the security and facilitate the develop-

⁴ "Leadership in America," *Time Magazine*, 104:3 (July 15, 1974), 27.

ment of the unit's human resources. Collegial pluralism in faculty meetings characterizes this type of organizational arrangement. For example:

- Faculty members, not the principal, usually preside at meetings. The principal is the chief executive officer of the faculty but this does not require that he preside at all meetings.
- The agenda is prepared by a committee of the faculty. The principal has the same right as other faculty members to place matters on the agenda.
- The major amount of time at faculty meetings is spent on program development and policy formation, and only a minor portion on announcements and routine matters.
- Ad hoc study committees frequently make reports to the faculty on matters being considered.
- The principal participates in faculty discussion on a peer basis with other members of the faculty.
- The faculty strives to reach consensus before taking action.
- The faculty considers the recommendations on appropriate matters from the parent-teacher association, citizens' committees, and student groups before taking action.
- When the faculty is making decisions on matters involving non-instructional employees, these employees are involved in the decision-making process.
- The principal does not veto actions of this faculty unless the actions are in conflict with state law or with the regulations of the board. The principal can avoid having to make this kind of veto by making clear to the faculty the limits of their decision-making authority. (There is nothing more frustrating to a faculty than to be invited to make a decision on a matter and then be advised later that the faculty did not have the authority to make the decision.⁵)

Limitations of Group and Committee Work. It is generally conceded that the group is important to the work of the organization and provides a means for satisfying individual wants. But there are some misconceptions about, and limitations to, group work which deserve consideration. At its best, group deliberation is never a simple process. The mere act of forming a committee to solve a problem does not ensure a solution. Moreover, in its efforts to reach agreement, the group often blunts the individual creativity it is supposed to encourage.

If we look at the use of committees in school systems, it will be noted that there is considerable room for improvement. The tendency is all

too common to deify the committee, to place in its collective lap problems that do not belong there, or to leave problems with the committee much longer than they should be left there. The committee has also been used as a subtle device for relieving the administrator of the responsibility for an unpopular decision.

Summary

The organization structure of a school system is highly important to the achievement of its purposes. Three significant issues involved in fitting the personnel function into the structure include the following:

- What should be the general and specific objectives of the personnel function? *The goal of the personnel function in a school system is to develop and maintain a staff able and willing to render effective educational services for its clients. The specific objectives related to the general purpose of the function provide insights into the kinds of activities essential to their fulfillment, and from these a basis for subdividing work and creating positions within the personnel unit can be established.*
- What activities should be assigned to the function? Activities which derive from the central purpose of the personnel function include manpower planning, compensation, recruitment, selection, induction, development, appraisal, continuity of personnel service, psychological and financial security, collective negotiations, and information.
- How should the function be structured, staffed, administered, and linked to other administrative functions and processes? Although there are various alternatives for organizing the activities encompassed by the personnel function, placing under the direction of one administrator all of the activities relating to the function provides numerous organizational benefits. Resolution of modern personnel problems in school organizations is of such crucial importance that the structure should include an administrator primarily responsible for the personnel area. This means that the personnel function is formed into a central unit, administered by an assistant superintendent, to aid the chief executive, as well as line and staff units, in solving personnel problems with which they are confronted. The personnel unit in the central administration is related to and dependent upon other organizational units, such as logistics, instruction, planning, and external relations. Sound organization of the personnel function can contribute materially to linking together the parts and to systematizing the relationships in a school system.

Planning Concepts Related to the Personnel Function

Throughout the history of mankind the concept of systematic plans for achieving goals has been an intellectual luxury without relevance to the ordinary affairs of people and nations.

During the last quarter of the twentieth century, however, it has become increasingly apparent that the complexities of organizational and ordinary life are so great that recourse to planning is no longer a luxury but a practical necessity. Evidence of the lack of planning in educational institutions is legion.

- The impracticability of certain instructional goals because the school system lacks, and is not likely to recruit, the human resources to implement the goals.
- Educational programs that have been established on inadequate conceptual bases.
- The use of federal and state moneys to initiate school programs that are not congruent with system goals.
- The psychic anxieties of personnel, probably created by organizational ideologies, plans, procedures, rules, and technical and administrative irrationality.
- Lack of coordination between planning and policy-making activities.
- Unresponsiveness to legislation governing fair employment, compensation, and related conditions of work.
- Failure to plan for the impact on human resources of cutbacks in programs and personnel.
- Failure to anticipate manpower shortages and surpluses.
- Failure to understand that goal attainment is constrained by existing resources.
- Failure to link organizational expectations to human needs.
- Planning for, but not by and with, personnel.
- Viewing personnel as ends rather than means.
- Failure to use collective negotiations to improve the educational enterprise.

The growing realization that goal attainment in organizations is closely linked to effective use of human resources has important implications for personnel administration. For boards of education and school administrators it means, for one thing, greater attention to immediate and long-range planning that will encompass the entire range of activities involved in administering the personnel function. Building a dedicated staff competent to direct the education of children and youth, fostering a climate wherein each staff member will release his creative energies, and stimulating each staff member to contribute his skills to human betterment are all organizational activities that require planning.

The purpose of this chapter is to examine the relationship between the personnel planning process and the behavior of system members. In setting forth these ideas, we will

- Discuss personnel planning in the context of educational system planning.
- Describe the planning process in terms of a system approach.
- Review the hierarchy of plans employed in operating the system and the personnel subsystem.

Educational System Planning

Planning is man's way of projecting his intentions. Because it deals with concepts of the future, with problems requiring imagination and choice, with deliberate forethought, with attainment by design, it represents a most appealing and challenging endeavor. It is recognized as organization's most reliable way of realizing its goals. It is the antithesis of expediency, laissez-faire, and indirection. It is an effort to set a course of action and to guide the action toward a set of expectations. Ackoff, in defining the nature of planning, notes that although planning is a decision-making process, it is a special kind of decision-making: (1) planning is something we do in advance of taking action, that is, it is anticipatory decision-making; (2) planning is required when the future state that we desire involves a set of interdependent decisions, that is, a system of decisions; (3) planning is a process directed toward producing one or more future states which are desired and which are not expected to occur unless something is done.¹

The case for preparing plans as the basis for administering the personnel function is not difficult to argue. Examination of the list of personnel

¹ Russell L. Ackoff, *A Concept of Corporate Planning* (New York: Wiley-Interscience), 2-4.

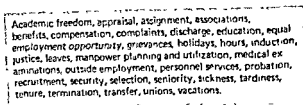


Figure 3.1. Personnel activities common to school systems.

activities (Figure 3.1) that obtain in school systems indicates that confusion, chaos, and anarchy would prevail without a system of plans and means by which the associated activities may be directed and controlled.

Clearly, the scope of personnel activities shown in Figure 3.1 suggests that to plan or not to plan is hardly an issue of consequence. Questions such as the following, however, do deserve careful attention because they highlight considerations basic to personnel planning:

- What kinds of personnel plans, both general and specific, are needed in a school system, and how can they be structured?
- How can personnel plans be designed so that they are linked to and interact effectively with other parts of the system?

In the section that follows we shall pursue the concept of the school organization as a system, its component parts and relationships, and the possibilities for linking personnel plans to the total system and its subsystems.

The School Organization As a System

A working definition of a system is that it constitutes an assemblage of correlated parts acting together to form a unitary whole for the purpose of achieving institutional goals. An organizational system, such as a school system, is made up of a number of subsystems, each having a function such as instruction, personnel, and logistics. These subsystems in turn are composed of a number of sets of facilitating processes. The personnel subsystem, for example, includes such processes as recruitment, selection, induction, and development. What this means to school officials responsible for the personnel function is simply this: In order to design plans (which include processes) to administer the personnel function, the designer must understand how the total system functions; the nature and purposes of the parts; the ways in which the parts are related to each other and to the total system; and the ways in which the parts interact to facilitate achievement of goals.

Although there is much more to be said (and discovered) about systems and systems design, the systems concept is of inestimable value in personnel planning. The operation of a school system is such that a purely mechanistic view of personnel administration tends to exclude some very vital considerations. How, for example, can personnel plans be developed if the *impersonal* dimension—including salary schedules, leaves of absence, and selection procedures—is given exclusive consideration? Other factors, such as the impact of the organizational structure on people, the force of unions on personnel matters, the effect of the informal group on the formal organization, the design of positions and jobs that will contribute to human satisfaction, and the effect of personnel subprocesses on personnel performance and organizational achievement have a significant bearing on how an organization actually functions. Thus, it would appear that the administrator must realize that understanding, if limited to only one component of a school system function, is *insufficient to enhance the betterment of the organization*. This is especially true of personnel administration, for many of the personnel problems and processes with which schools are confronted are systemwide.

The Planning Process (Systems Approach)

The discussion which follows considers a process model designed by Kaufman for general problem-solving in the field of education. The model, as shown in Figure 3.2, uses a systems approach consisting of six steps, five of which are identified and numbered; the last step (to be revised as required) is indicated by the broken lines. One characteristic of the model is that revision may take place at any step. This concept is in keeping with this planning principle: plans and planning are never terminal, are constantly in a state of revision, and are subject to change as new forces, insights, and conditions come to bear on the problems under consideration. Another feature of the model is that there are planning tools, techniques, and procedures applicable to each of the steps, which, when linked with the process, form a conceptual basis for developing an educational planning system. Thus, the use of a planning process will enable school planners to put means and ends into proper perspective, to identify the system and the attendance-unit priorities, to review alternative plans, to choose the appropriate alternative and strategy for its solution, and to revise plans on the basis of errors or detected failures. The process outlined in the model, it should be noted, is applicable to both systemwide or to unit planning. It is conceivable, for example, that the system will develop policies for the continuing educa-

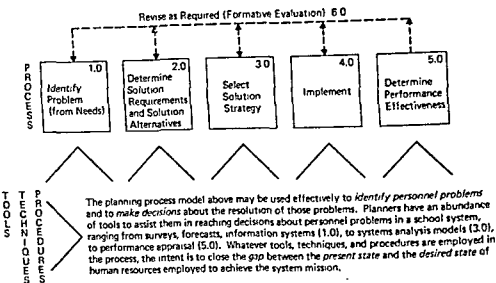


Figure 3.2. Planning process model using systems approach. Based on Roger Kaufman, *Educational System Planning*, p. 138. © 1972. By permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

tion of all personnel, and will include funds in the annual budget for that purpose. However, the manner in which planning is undertaken and plans made for the development of personnel in individual schools, as well as the expenditure of funds for that purpose, may be completely decentralized.

It is anticipated that one of the outcomes of the planning process will be a system of plans that will structure the goals and subordinate objectives; that is, convert the broad purposes of the whole organization into *objectives for each of the units in the central administration and for each individual school*. The planning process and derivative plans are designed to minimize random behavior and dysfunctionism and to facilitate the coordination of goal-directed activity. The development of a system of plans is treated in the text following.

A System of Plans

The major outcome of the planning process illustrated in Figure 3.2 is intended to be a series or family of interrelated plans, which are usually prepared in documentary form. Figure 3.3 has been included to conceptualize such a system of plans for a hypothetical school system. Analysis of Figure 3.3 indicates that there are four types of plans in-

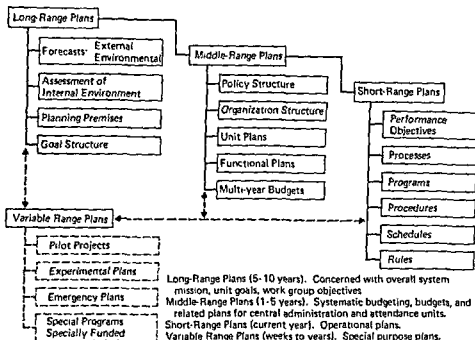


Figure 3.3. Conceptualization of a system of plans for the Goodville school system. Adapted from David I. Cleland and William R. King, *Management: A Systems Approach*, p. 270. © 1972. Used with permission of McGraw-Hill Book Company, New York.

cluded in the system of plans, each of which has at least four dimensions—time, purpose, structure, and behavior. Each plan has a set or sets of subplans; each is interdependent upon and interrelated with all other plans. Following are explanations and illustrations for the major types of plans shown in Figure 3.3.

Long-Range Plans

Long-range plans, often referred to as *strategic* or *visionary plans*, are those established at the highest level in the organizational hierarchy. They are difficult to revise once initiated, and are oriented toward changing the system from its present status to a desired condition in the future. As illustrated in Figure 3.3, the major features of a long-range plan include a series of steps: analyses of the internal and external environments in which the school system will conduct its activities; the development of planning premises, and the designing of a goal structure.

Forecasts. Table 3.1 illustrates the environmental factors to be considered in the initial step of preparing the long-range educational plan.

Table 3.1. *Illustration of Internal and External Factors to be Analyzed in Forecasting Future Environment of Goodville School System*

<i>Probable Changes in External Environment</i>		<i>Strengths and Weaknesses of Internal Environment</i>	
Sociocultural	Technological	Personnel	Planning
Demographic	Economic	Funds	Structure
Political	Community	Facilities	External Relations
Legislative		Programs	Administration
Educational		Organization	Management Systems
What is the most likely future external environment, and its planning implications for the Goodville School System?		What are the present strengths and weaknesses of the Goodville school system? What changes are needed in internal environment to deal with planning implications of emerging external environment?	

External factors, it should be noted, are constantly changing and have implications for long-range educational planning. Decreases or increases in the school population, changes in educational legislation, and changes in the economy are examples of shifting external forces.

Table 3.1 indicates that there are forces both within and without the organization, some of which the organization cannot control, especially those in the external environment. The extensive changes in education since mid-century illustrate how external forces affect the system. The following are facets of evolving sociocultural patterns with implications for both system and personnel: the changing composition of the urban school population; demands for alternative educational programs; far-reaching federal legislation affecting both school boundaries and the conditions under which personnel are employed; variations in demand for and supply of teaching and administrative personnel; ascendancy of the union movement in education; and declining respect for authority. Forces within the environment also change. Personnel become professionally, interpersonally, and culturally obsolescent. Programs become outmoded. Facilities must be modified to accommodate changes in the educational program. Management plans and systems erode when subjected to pressures and constraints from within and outside of the system.

The major purpose of Table 3.1 is to bring into focus the interrelationship between internal and external forces, and to emphasize the need for planners to understand their dimensions and to apply available techniques for analyzing changes taking place in both environments. In brief, not only must school administrators develop appropriate plans for managing the internal environment, they must anticipate and prepare to adapt to external forces which may affect the shaping of tomorrow's system of educational plans. Each of the planning factors listed in column I of Table 3.2, for example, is analyzed in detail to estimate how

each might affect the school system in the years ahead. Analysis of the community factor would entail studies of key community planning indicators such as population trends, land use, pupil enrollment, housing, population composition, commercial and industrial developments, private and parochial school enrollment trends, and transportation networks. The information pertaining to these dimensions of the community would provide bases for planning assumptions about future demand for public education. Questions such as these following point up the kind of planning assumptions to be examined and developed:

On the basis of community trend indicators, what pupil enrollments should the Goodville school system plan to accommodate in the next five years?

What are the implications of the projected enrollments for the educational program?

For school facilities?

For staffing the schools?

For the school organization structure?

For pupil services?

For expenditures and revenue?

The planning hypotheses developed on the basis of careful examination of the system's internal and external environments form the framework for establishment of a goal structure around which to develop the system of plans.

Goal Structure. Based on the planning premises referred to in Table 3.2, the next step in shaping the long-range plan is the formation of a goal structure. By definition, a goal structure is an organizational arrangement by which goals and subgoals are identified and allocated to various units for purposes of direction, implementation, and control. Reexamination of Figure 1.3 (Chapter 1) illustrates that the range of the goal structure includes everything from the system mission to classroom objectives; and that the goals of the total organization are divided in sequential order among the different levels of the system.

When planners decide to move a school system from its present to a desired status, as outlined in Table 3.2, the operant consideration remains, as always, the system mission, because organizational change derives from the reasons for the system's existence and continuance. Figure 3.4 extends the concept of a goal structure to the various units within the system. This illustration posits that the system mission is converted into a program structure containing four components: intellectual, social, personal, and productive development. These programs form the framework for the educational program for all students within the school system. Figure 3.4 also embodies the concept that the goals

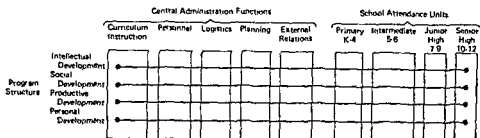


Figure 3.4. Illustration of interaction of program structure, central staff functions, and school attendance units.

are subdivided among central administrative and school attendance units. For example, the personnel function in the central administration would be charged generally with responsibilities for staffing the system effectively in order to achieve the aims of the four programs. Further, each of the attendance units would design general and behavioral objectives that are compatible with and supportive of the broad goals of the total organization. (See Figure 1.3.) The underlying idea in Figure 3.4 is goal sequence and integration. The sequence of goals is linked together and is mutually reinforcing. For example, the more effective the system is in helping students to achieve the various kinds of development listed in Figure 3.4, the more supportive the community is of the system, and the more system members benefit from the success of both individual and collective efforts.

Figure 3.5 summarizes in graphic form the steps in the planning process leading to a system of plans and illustrates how they interact. The model features linkages between the planning process, the system of plans, and the means by which plans are continually modified through revision and recycling.

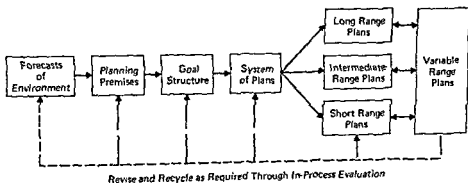


Figure 3.5. Model of interaction between planning process and a system of plans.

Now that we have considered concepts by which school systems planners decide the broad outcomes they wish to realize, let us examine how intentions are translated into realities through conversion of long-range plans into specific courses of action.

Mission Development

It has been noted earlier (Figure 3.2) that a system approach to planning involves the identification of needs: deciding which of several alternative solutions should be selected, establishing the means by which the plans for reaching the solution will be implemented, and the ways in which plans will be controlled in order to achieve the aims under consideration. After the planners decide its overall direction, that is, what it wishes to accomplish, the next problem is to determine the major steps to get from here to there. The purpose of the text following is to identify the dimensions of the planning process involved in developing the system mission, and in moving from the present to the desired condition.

The system mission, as mentioned previously, involves a series of decisions taken in the present time, the impact of which is to be realized at some future time within the planning period. In order to achieve the intended impact or outcome, a succeeding series of decisions is needed. These decisions are part of the means-end chain of events, which we will refer to as *mission development*. These are the constructs, created in advance, which represent today's planning bridges for moving the system onto the shores of tomorrow. As such, they are more detailed in nature than broad-range goals, give more specific directions about what courses of action will be followed, indicate what responsibilities are allocated to units, positions, and people, thus creating a system of parts out of the whole in order to achieve synchronized performance. As illustrated in Figure 3.5, there are four major types of plans in the planning system which derive from the planning process. Next, three kinds of plans for developing the system mission will be examined (intermediate-, short-, and variable-range plans). The decisions relating to the foregoing plans are made within the framework of the long-range mission, are designed to implement the mission, and can be examined in terms of four dimensions: *time, plans, structure, and administrative behavior*.

The Time Dimension

One characteristic of any organizational plan is that it has a time dimension, ranging from weeks to years. Figure 3.6 has been included

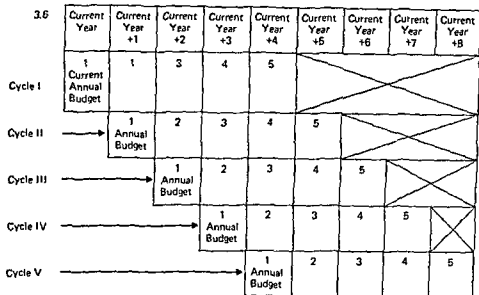


Figure 3.6. Time-span diagram illustrating multiyear planning cycle.

to illustrate the time dimension of organizational plans designed to develop the system mission. The five-year planning cycle shown in Figure 3.6 encompasses the various types of plans identified in Figure 3.5 (intermediate-short-variable-range).

Let us begin our analysis of Figure 3.6 with the underlying axiom that a multiyear planning cycle is needed to accomplish the system mission; that the planning cycle (in this case arbitrarily set at five years) is a useful construct around which to develop a series of plans of varying time-spans.

A second axiom is that the planning cycle is continuous. Each year the planning cycle is adjusted so that as one year is completed, another is added, providing a moving schedule which is continually planned for a five-year period.

A third axiom is that, while the yearly plans beyond the current one in the planning cycle are not considered to be binding commitments, and can be modified to meet situational requirements, the closer the yearly plans are to the current year, the greater is the obligation to adhere to them.

A fourth axiom is that there is a planning document prepared annually adjusting the plans within the moving time-span, consonant with the system mission.

A fifth axiom is that both the functional units in the central administration and each of the attendance units will continuously prepare plans for a five-year period, based upon priorities needed to achieve the mile-

stones for achieving the mission, and upon performance objectives for units and administrators holding positions within units.

A sixth axiom is that a variety of plans and planning tools can be employed in the planning cycle, including budgets, policies, processes, procedures, priorities, directives, schedules, projects, and performance objectives. Some of the plans will be of a temporary nature (variable-range plans), such as pilot projects, experiments, projects with specific terminal dates, and so on (see Figure 3.3). Others will be of an enduring nature, such as personnel policies and processes.

A seventh axiom is that a planning cycle requires commitments as to plans, resources, schedules, and attainment of performance objectives. People within the system agree to adhere to a planned course of action aimed at controlling the forces, factors, and conditions affecting attainment of results.

A final axiom is concerned with the relationship between short-, intermediate-, and long-term plans. The initial and subsequent planning cycles are vital elements in implementing the long-range plan. What the system wants the personnel function to be in the next five years, for example, has implications for decisions made in the first year of the planning cycle. Moreover, success in attaining the distant goals of the personnel function will be determined largely by a series of short-run decisions. Conversely, one of the contributions of the long-range plan is to minimize the use of human and nonhuman resources in activities not related to the ends to be achieved—to prevent spending today's and tomorrow's money on yesterday's plans.

The Plans Dimension

It is a fact of life in educational institutions that statements on the system's philosophy, general purposes, mission, and similar expressions of intent are too vague and general to help those in charge to determine how to achieve its aims. Derivative or subplans are needed to make clear for school personnel how the organization expects to accomplish systemwide and subsystem expectations. Fortunately for decision-makers, there is an abundance of plans that can be employed to guide and constrain the system as it moves through the planning cycle described in Figure 3.6.

Planning taxonomy classifies such plans into two general types, *standing* and *single-use*. The distinction between the two types, however, is relative rather than absolute. Standing plans include policies, multiyear budgets, procedures, processes, and rules; provide consistent arrangements by which organizations decide how to solve problems involved in

carrying out purposes; are relatively enduring; and are used to *guide* and to *control* the multifaceted functions that characterize a school system. They are especially applicable in dealing with recurring work, activities, problems, and decisions. Single-use plans (short- and variable-range), on the other hand, are of limited duration. Examples, as listed in Figure 3.6, include projects, performance or behavioral objectives, annual budgets, practices, and operational strategies. Regardless of whether plans are of the standing or single-use type, they represent *means* by which broader goals and purposes are to be pursued. The first and most important of the *standing* plans to be examined is policy, the meaning and application of which are frequently confused.

Policy Structure

The policy structure is a component of mission development and implementation. It is developed at the highest level of the organization in order to guide the course of action a system adheres to in moving from its present status to a desired status. The policy structure is a grouping of policy statements designed to assist the organization in carrying out major functions, such as those delineated in Figure 3.4 (curriculum and instruction, personnel, logistics, planning, and external relations).

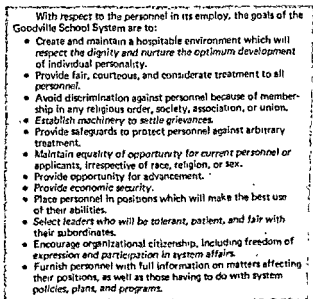


Figure 3.7. Illustration of policy statement concerning recognition of the individual.

One way to consider the meaning of policy is to examine the policy statement shown in Figure 3.7 concerning recognition of the individual in the Goodville school system. This statement is one of those included in the policy structure pertaining to personnel. As noted earlier, the policy structure contains a series of statements governing each of the major functions in the school system.

Analysis of the foregoing personnel policy statement leads to the following observations:

- Policy is a written statement of the general aims and intentions of the board of education with respect to working conditions and relationships that are intended to prevail in the school system. It is a predetermined course of action designed to guide decisions and actions so as to maximize their effectiveness in producing anticipated results.
- Policy is one of the plans in a hierarchy, ranging from broad goals, through policies, programs, processes, and procedures, to specific rules.
- Policy establishes the quality of human relationships that will prevail in the school system, thus serving as a link between the technical and human components.
- Policies are often confused with rules, regulations, procedures, directions, instructions, and practices. The latter are instruments that the administrator uses to translate broad policies into specific objectives and courses of action. Practices, procedures, and rules are in effect in every school system regardless of the presence or absence of policies.
- Policies cannot be highly specific. They are not intended to provide answers to every personnel problem that arises. They are meant to allow the administrator discretion in making decisions. They act to control decisions to the extent that they confine operational activities to a predetermined course of action.

Budgets and Budgeting. The budget and the process by which it is developed are also invaluable plans in helping the system move through the planning cycle (Figure 3.6) in the course of mission realization. There are many kinds of budgets, covering varying timespans, for the allocation of operating resources to various units.

The relationship between budgets and the time dimension can be illustrated by referring again to Figure 3.6. Important facets of the relationship can be explained as follows:

- The multiyear planning cycle can be employed by having unit administrators, such as school principals or the assistant superintendent for personnel, prepare multiyear plans, including collateral budgets, for carrying out the unit's responsibility during the five-year

plan. These plans are based upon mission development goals to be reached at various phases of the planning cycle. The plans establish wide margins for contingencies, but are restricted to the general guidelines for systemwide and unit plans.

- The personnel function, for example, may specify that two of the major problems it wishes to resolve in the five-year planning cycle are (1) the improvement of position design for every position within the system—helping position-holders to be more compatible with these positions, and (2) making more effective use of all human resources on the system payroll. By use of a multiyear budget the personnel department or group can project its plans so that they are integrated with systemwide plans and budgets.
- During the first year of the planning cycle, performance targets are established for personnel, with supporting budgets; and performance reviews are made periodically to check the progress being made toward achieving the short-range performance targets.

Advantages that can accrue to the system and to personnel from skillful application of the budgetary process are extensive. The following are some examples:

- Unit members can participate in certain personnel decisions and can contribute ideas to the provisions for personnel which are to be incorporated in the budget.
- Incorporation of personnel plans into the budget involves an analysis of present plans in order to determine: how suitable they are as to the work to be accomplished, how fully and effectively the present staff is utilized, and what budgetary provisions are needed to correct present shortcomings.
- Long-range personnel needs can be analyzed and made the basis for a recruitment program.
- General objectives of the personnel program can be translated into short- and long-range budgetary plans, governing the quality and quantity of personnel to be employed, their compensation, development, and conditions of employment.

Although the foregoing opportunities for interrelating the personnel function and the budgetary process are not necessarily the most essential ones, they serve to emphasize an important point. School systems cannot improve the effectiveness of the personnel function unless the central administrative staff understands, and uses appropriately, the budget for this purpose.

The budget is a most useful indicator of the extent to which policies have been translated into genuine plans of action. There are those who contend that budgetary provisions that prevail for school personnel are,

to a large extent, those that planners wish to have prevail. They argue that even though legal and financial circumstances often prevent boards from establishing optimum provisions for personnel, a budget generally reflects that intent. A budget cannot help but reflect policy, it is said, even if it has been prepared without reference to any written statement of intent and results in "policy by default."

Any school budget provides clues to personnel policy because a major portion of the current expenditure items is devoted to personnel in the form of salaries, wages, retirement, in-service development, and collateral benefits. The nature, scope, and to some extent, quality of personnel provisions are identifiable through budgetary analysis. Budgetary provisions for school personnel are known to vary widely among school districts, and to reflect variations in personnel policies.

Thoughtful consideration of the concept of the budget as a schematic plan for crystallizing organizational policies, plans, and resources should reveal its potential for appraising, initiating, adjusting, planning, integrating, and controlling the administration of policies and programs. The relationship between the school budget and personnel policies is a strong one, because

- Most policies lead to a price tag of some sort.
- The budget forces the translation of policies into specific plans involving precise dollar requirements.
- The budgetary process makes possible an annual review of the effectiveness of existing policy.
- The budget provides an important channel of communication for describing and clarifying policy.
- The unity, emphasis, and balance essential to policy-planning are best realized through the medium of the budget.

As experienced administrators know, putting policies into effect requires money. No matter how impressive and potentially promising a plan may appear to be, or how painstakingly it may have been developed, it represents something of a mental exercise until a budget appropriation for its implementation has been formally approved.

A budget, in the final analysis, is a monetary expression of policy. Dollar values assigned to the various budget items can be interpreted as the expectations of the board. Even the absence of a particular item in the budget expresses board policy. The budget that appropriates more money for grass seed than it does for a program of in-service development of school personnel is an expression of policy. The board's intent may be unwritten, but its commitment to action is clear.

The budget is the most important instrument administration has to plan, to implement, to improve, and to control the many-faceted operations of a school system. It is a numerical storehouse of hundreds of large

and small decisions that have been established to guide administrative action.

How can the school system use the budget in multiyear personnel planning? Although an extensive list could be developed, the following are some suggestions that may be useful:

- Develop a budgetary process that will enlist the judgment of the total staff in the formulation of the personnel program.
- Encourage the board to review past budgetary practice in relation to the personnel program to determine whether the program and its support are adequate.
- Plan the human and material resources to meet requirements of the total personnel plan.
- Interpret the personnel program through the proposed budget to the staff, board, and community.
- Familiarize board members with immediate and long-term personnel requirements.
- Balance personnel needs against those of the total program to determine budget priorities and emphases.
- Make effective use of appropriations for personnel activities through a budgetary control system.

By utilizing ideas such as the foregoing, the budget and the process by which it is produced can be utilized extensively in personnel planning, not merely in quantifying organizational needs, but also in bringing about the systematic examination of problems and issues. An example will illustrate this point. Consider the budgetary course of a single item pertaining to personnel, such as the need to increase teachers' salaries. Because this is in keeping with board policy on equitable compensation, the chief executive is asked to present his considered recommendations in the form of a budget proposal. Through an enlightened budgetary process the chief executive elicits staff, citizen, and board judgment as to salary and wage levels that should obtain, both in terms of recruiting potential and in terms of fairness to existing personnel. This approach would necessarily require consideration of a number of related factors, such as the long-term financial implications of the budget proposal, its effect upon other budgetary requirements, and the willingness of the community to provide the necessary fiscal support. Budget hearings and various types of group conferences give opportunities for both proponents and opponents of the proposal to be heard. Board review of the entire budget before its adoption permits appraisal of the soundness of the recommendation—whether or not it is fiscally feasible, and whether or not its approval would lead to neglect of other equally important priorities. In short, budgeting becomes an administrative and social crucible in which educational problems find expression and are resolved.

The budget, then, is more than a list of expenditures and revenues spanning a period of time. It should be viewed as a focal point, around which a powerful interplay of forces combine to determine the richness or meagerness of educational experiences available to children. It is worth emphasizing that, although the budget is not all there is to planning education, it is the means by which virtually all planning decisions are put into operation.

To a greater or lesser extent every school district is compelled to prepare a school budget and to stay within its provisions. These tasks are not exacting if the budget is prepared merely to meet the letter of the law. But a budget that is carefully developed, one that relates each item to the attainment of administrative goals, requires precise planning. Between these extremes there is an appreciable difference. Building the optimum budget calls for an understanding of its social, educational, economic, political, and administrative significance. It calls for a sound policy basis, a balance between many judgments, continuity of planning, and integration of hundreds of major and minor decisions calculated to provide an educational program in keeping with the demands of an increasingly complex society.

With respect to the budget and the budget-making process, it is important to appreciate that the primary focus should not be fiscal (revenue and expenditure allocation); the focus should be on helping to move the system along a desired course of action. The budget is a means, not an end. A strong, purposive budget, especially one of the type described in Figure 3.6, should move incrementally away from fixed budgetary allocations that stifle innovation, should move away from the wrong programs, the wrong emphases, the wrong positions, and the wrong people in the positions.

Processes and Procedures

Personnel processes, as the term is used herein, refers to a series of progressive and interdependent steps designed to implement personnel policies governing the major tasks of the personnel function. The tasks illustrated in Figure 3.8, represent the core of the personnel function in the central administration. As noted earlier, many activities relating to these functions are not solely the province of the central administration; systemwide plans for their design and implementation are made at the highest level of the system. Analysis and synthesis of each of these processes take up the remaining chapters in the text. In these chapters, models of each personnel process and its parts will be portrayed in order to examine their structural, behavioral, and planning relationships.

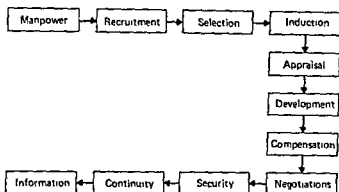


Figure 3.8. Model of personnel operating processes in the Goodville school system.

Linking Processes to Policies. Let us now consider how the various processes portrayed in Figure 3.8 can be linked to other system parts (policies and procedures) in order to develop the mission in terms of the planning-cycle concept (Figure 3.6). The intent of Figure 3.9 is to demonstrate that each of the listed personnel policy statements forms the basis for the processes in Figure 3.8. Careful analysis of Figures 3.8 and 3.9 leads to the conclusion that policies and processes need to be supported by more specific plans if they are to be operationally effective. One approach to this problem is illustrated in Figure 3.10, which extends one of the policy statements into processes and procedures for implementing the compensation policy. The procedure shown in Figure 3.10 is a plan for regularizing a recurring event, and provides a narrower, more specific, and more restricted guide to action than either a policy or a process. A rule is also a plan of action indicating what may or may not be done, and is the lowest in the echelon of a series of plans. It is at the other extreme of a mission, which is the broadest of all plans.

Single-Use Plans. Short- and intermediate-range plans both give support to the multiyear plan and mission. The single-use plan, as the name implies, is one of limited duration designed to accomplish specific objectives. Projects, annual budgets, and performance objectives are examples of single-use plans, each of which is linked to higher-level plans. Moreover, short-run plans are used in both the central administration and school attendance units. Plans of this nature might be developed to sustain and guide the following kinds of personnel activities: (1) undertaking a recruitment program for personnel in the area of special education; (2) conducting collective negotiations to reach agreement on an annual or multiyear contract; (3) implementing a training program for school maintenance personnel in the care of lawn-cutting equipment; (4)

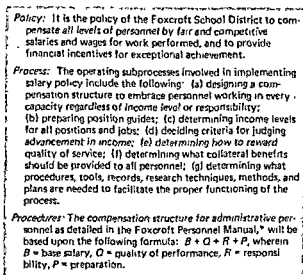
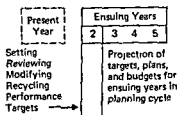


Figure 3.10. Linkage of compensation, policy, process, and procedure.

* For a complete discussion of the methodology of developing a school board policy manual see Robert Wilson, *School Board Policies: What Are They? How to Write Them* (Columbus, Ohio: The Ohio School Boards Association, 1968).

with information as to whether certain modifications are appropriate to accomplish longer-range plans of which they are part.

One of the most important uses of the short-range plan in personnel administration is related to the management-by-objectives concept. As illustrated, the first year of the multiyear plan is based upon specific performance targets to be reached by units and positions within the system. As previously established targets are realized, new performance targets are set for personnel each year. The short-range objective (target) is a plan within a plan, leading to the attainment of ever-broader purposes.²



² Performance targets will be discussed extensively in Chapters 9 and 10.

Structural Dimension

Plans are carried out by means of an organizational structure, which is to say that the work involved in implementing the system mission is divided into segments or units to which work groups are assigned. Examination of Figure 3.4, for example, indicates that the work in the central administration of the Goodville school system is organized by functions, but the work in the attendance units is organized by program and geography. The fundamental point to be made here is that each of the units in both the central administration and in the attendance units is assigned a part or parts of the long-range program to develop and implement. Organizational subunits, insofar as possible, should be unifunctional. This means that activities are grouped in such a way that each unit is concerned with a single overall purpose. The personnel function, for example, would be concerned with the central process of attracting, retaining, and developing system personnel. The following overview of the activities of organizational units when converting the broad system of goals into specific plans, as outlined here, is intended to give the reader an understanding of the pattern of decentralization under consideration before proceeding to a further discussion of the behavioral dimension of personnel planning.

A. Priorities

Priorities are established at the top level of the system for all units and communicated to all unit executives. Each school attendance unit, for example, is allocated certain sequences of the educational plan. By referring to Figure 3.4, the reader can better visualize the relationship between the program structure as it pertains to the objectives of each attendance unit.

B. Policy and Decision

Each operating unit in the central administration, as well as the attendance units, adheres to the policy continuum set at the top level. Different schools within the system, for example, will not be permitted to establish different policies on leaves of absence or compensation. Responsibility for developing unit plans consonant with broad system plans rests with the unit head. Interpretation and responsibility for decisions on systemwide plans reside with executives at the appropriate level of operation. Some types of problems in administering the collective negotiations agreement are decided at the operating level; others at the central level. Unit heads are encouraged to make situational judgments on system plans.

C. Administrative Behavior

Central administration removes itself from direct day-to-day management of attendance units; monitoring of progress and checks of effectiveness of plans are achieved through feedback and observation. Attendance unit heads are autonomous with respect to implementing policy guidelines.

This pattern of system decentralization for converting the mission of the school system into unit plans requires maturity, competency, and understanding on the part of school executives. Delegating parts of plans to various echelons in the system, thinking abstractly about the future of the organization, designing controls to see that the parts mesh with the whole, and developing and assessing people in terms of results achieved are keys to administrative behavior that is required under a decentralized organization.

The Behavioral Dimension

The old adage, that a horse cannot be persuaded to drink water without his concurrence, is true. It is equally dubious that just because plans are devised for personnel to carry out, they will readily accept, implement, and achieve the intent for which the plans were prepared. One of the realities of organizational life is that preparation of plans must go beyond purpose and technical components. Planning also anticipates the problems involved in getting people to concur in and to carry out plans voluntarily. This aspect of planning is especially applicable to education, a field composed largely of professionals, many of whom work alone (such as the classroom teacher), without constant supervision, and without a precise definition of duties and responsibilities. Plans, as we know, are impersonal. Until people are committed to carrying out plans, and until steps are taken to determine to what extent and how well they are executed, and what can be done to improve their effectiveness, they generally remain paper-bound, confined to the realm of unrealized intentions.

SECURING VOLUNTARY COOPERATION

The theme of this chapter has been personnel planning concepts related to organizational change. The observation has been made that personnel planning can be designed through a series of personnel proc-

esses. The overall intent of such processes is to improve organizational decisions relating to people so that the behavior of the individual position-holder will be directed voluntarily toward goal commitment and achievement. The following are several behavioral avenues that can enhance human acceptance of organizational personnel plans.

Structure. The organization structure sets the conditions under which the system effects change, and under which the personnel processes operate. Modifications of the bureaucratic, monocratic structure in the direction of the collegial concept of organization enhances the possibility of organizational innovation and creativity. This entails less emphasis on the use of power and authority and stresses decision-making that favors group involvement, freer communications, and decentralization.

Personnel Function. The organization structure is designed so that the personnel function pervades the entire organization. It is fashioned on the premise that every individual who guides and directs the behavior of other adults in the system is involved in the personnel function. The personnel function in the central administration is planned to carry out the basic personnel process identified in Figure 3.8. The totality of the personnel function involves such key activities as definition of personnel outcomes, personnel-policy recommendations, advice and service planning to unit administrators, a personnel information system, and maintenance of a personnel policy and procedural control network. Each of these is undertaken to engender higher levels of performance, individual satisfaction, and effective organizational use of human resources.

Administrative Behavior. The behavior of individual administrators in the design and implementation of personnel plans is directly related to voluntary cooperation of personnel. First, the goal-setting system employed by individual administrators has a strong potential for motivating the staff. Second, the plans employed by the unit administrator in managing the work of individuals for whom he is responsible provides unlimited opportunities for work improvement and achievement. Third, organizational success comes through the voluntary cooperation of individuals who are nurtured by administrative behavior that focuses upon need satisfaction.

Individual Behavior. The personnel processes can be designed to make individuals more self-responsible and more self-actualizing. Each of those processes, as part of the larger system of plans, has the potential for contributing in various ways and degrees to getting work accomplished through voluntary cooperation. The rest of this text, chapter by chapter, will be devoted to delineating and discussing these processes in light of

their relation to organizational and individual behavior. Part III, which follows, treats the planning of the primary process of the personnel function (manpower planning, recruitment, selection, induction) as it relates to staffing the system for work achievement.

Summary

Planning is the school system's most effective way of projecting its intentions and the most reliable method of achieving its mission.

Use of a planning process makes it possible to put means and ends into perspective, to identify alternative approaches to personnel problems, to choose appropriate strategies for problem resolution, and to revise plans when errors or failures are detected.

Acceptance of the idea of a single unit (personnel) that is concerned about all the needs of all the members of the organization puts a new perspective on personnel administration. Systemwide plans must be developed and coordinated to attract, develop, and retain the staff needed by the school system in order to realize the intended results.

Personnel planning in a school system can be enhanced if it draws upon the systems approach, makes use of the variety of plans applicable to the personnel function, and utilizes some of the planning tools now available to organizations. The use of a systems approach in planning the personnel function enables the administrator to understand how the total school system functions, the nature and purposes of the parts, the ways in which the parts are related to each other and to the total system, and the ways in which the parts interact to facilitate the achievement of goals.

There are a variety of standing and single-use plans that can be prepared to develop a competent, well-motivated staff. These include policies, procedures, programs, and processes. An especially useful tool in personnel planning is the planning-programming-budgeting system (PPBS), the heart of which is a program budget developed on the basis of carefully conceived programs with objectives and subobjectives.

Indispensable to personnel planning is the development and maintenance of an effective information system, which involves getting significant personnel facts from and for people who use them, as well as utilizing important new advances in data processing to facilitate the administration of the personnel function.

PART III

Manpower, Recruitment, Selection, and Induction Processes

Manpower Planning: Dimensions and Assumptions

Operation of a modern school system involves employment of variously skilled individuals such as professional administrators, teachers, professional specialists, paraprofessionals, and classified personnel to perform diverse roles at different locations and organization levels. Activities concerned with the continuous and effective staffing of these positions with personnel having the skills, knowledge, experience, and related qualifications are referred to as *manpower planning*. The manpower planning process is sufficiently independent in contexture to warrant separate treatment in this and the following chapter. The purpose of this chapter is to treat the concept of manpower planning as the first of eleven subprocesses comprising the personnel function (see Figure 2.1). The material dealt with herein is closely connected with three other personnel processes included in Part III, namely, recruitment, selection, and induction of personnel, each of which will be addressed in succeeding chapters.

There are certain characteristics of manpower planning common to planning of any kind. The intent of organizational planning is to decide in advance what is to be done, to clarify the organization's expectations of what it wants the total system and its parts to be and to do. By developing systematic plans for manpower planning, random administrative behavior is minimized and goal oriented, coordinated, rational, orderly organizational effort becomes possible. On the other hand, if manpower planning is neglected, schools will be plagued with problems of attracting and holding personnel essential to its purposes. The consequences that every organization suffers when it does not have enough of the right people in the right places doing the right things, and not motivated to perform effectively, are so serious that the crucial importance of a manpower plan is readily apparent.

The dimensions of manpower planning are quite similar to those referred to in Chapter 3, including time, structure, plans, and behavioral response to plans. Let us examine each of these dimensions briefly, using

as our focal point the perspective of multiyear planning for a school system illustrated in Figure 4.1.

The Time Dimension

Examination of Figure 4.1 indicates that there are two key elements in manpower planning—positions and people, both of which change over time because of changes in the individual, and in the internal and external environments of the system. Also apparent in Figure 4.1 is the fact there are two phases to manpower planning—short- and long-span, each of which will be discussed in turn.

Short-span manpower planning, as illustrated in Figure 4.2, is concerned with (1) effecting a high degree of compatibility between the existing positions and people; and (2) filling current position openings with existing personnel. From an administrative standpoint, these short-span staffing problems involve changing the position, changing the position-holder, or removing the position-holder. Modification of the position is usually undertaken when the position-holder does not possess the necessary qualifications to perform up to position expectations. The application of this remedy is possible to some extent in educational systems, especially in classified positions, and to a limited extent in teaching positions (team teaching). Changing the position-holder, which will be discussed at length in Chapters 9 and 10, is based upon the premise that additional preparation will enable the individual to perform satisfactorily

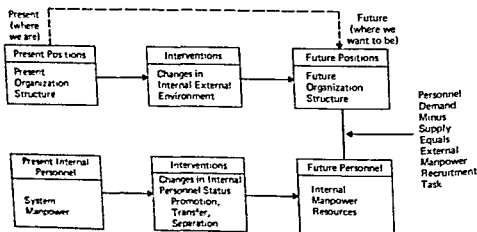


Figure 4.1. Perspective of multiyear manpower planning for an educational system.

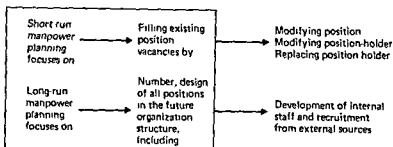


Figure 4.2. Focus of short- and long-run manpower planning.

the work for which the position exists. Removal of the individual from a position, either through transfer or dismissal, is a critical personnel problem in short-run manpower planning because of both individual and organizational considerations. The impact of removing an individual from a position, either through transfer or discharge, can be either positive or negative. Sometimes a personnel change is welcomed by system members. On other occasions it causes staff insecurity. Its emotional impact on the position-holder is usually severe. Personnel removal often provides opportunities to correct previous errors in personnel placement. Procrastination in justifiable personnel removal often impedes effectiveness of an entire unit or a school system. Personnel removal will be discussed at length in Chapter 15.

It is a common experience in every organization to have position vacancies suddenly that must be filled immediately, frequently from among personnel within the system. One of the possibilities to be considered if qualified personnel are available for promotion is to move incumbents upward from other positions.¹ The several ramifications of this approach will also be treated in detail in Chapter 15.

Long-span manpower planning, as depicted in Figure 4.2, differs from short-span planning in these ways: (1) the planning focus is on the more remote future, on the totality of positions in the future organizational structure, and on the personnel required to staff those positions; (2) the manpower planning process is interdependent with other long-term functional planning, such as that required for nonhuman resources, instructional programs, and instructional support programs; (3) present personnel must be evaluated and, when possible, placed in an ideal position; and (4) the gap between present and anticipated personnel must be realized through the recruitment process. Moreover, long-term manpower planning is also different from short-run planning in that in

¹ For a detailed discussion of short-run manpower planning, see William H. Newman, et al; *The Process of Management*, 3rd ed. (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1972), 216.

the former the organization takes the time to devise creative ways in which to seek congruency between the work system and the human system components of the school organization. This topic will be discussed later in this chapter in the section on manpower-planning premises.

The Structural Dimension

Referring once more to Figure 4.1, it is manifest that the organization structure is an integral component of manpower planning. Changing from the present structure to an intended organization structure involves an examination of the influences, both internal and external, that affect the nature of the organization structure. These are referred to in Figure 4.1 as *interventions* or *changes* in the internal and external environments. They result from the influence of variables such as the school system's rate of growth; social changes requiring changes in instructional programs; supply of and demand for personnel; quantity, quality, and deployment of existing manpower; turnover rates; introduction of technology to the classroom; increased task specialization; impact of collective negotiations on personnel; and the extension of educational opportunity and services to ever increasing numbers of children, youth, and adults. The point to be stressed here is that intervening variables exert a powerful influence upon the future organization structure, and are factors to be given extensive and intensive consideration in its development.

The Behavioral Dimension

The organization structure, it has been noted, creates a framework within which positions are established, and through which position-holders perform their responsibilities and interact with other position-holders. Of pertinence at this point in the discussion of long-range manpower planning are these premises:

- The design of a position influences the behavior of the position-holder.
- Positions have certain values (economic, social, psychic) that are important to position-holders.
- Positions place constraints on position-holders, defining to a certain extent what is to be done, where it is to be done, how, and with whom it is to be done.

Whereas evidence concerning the impact of organizational structures on individual needs is conflicting, theorists and practitioners continue to point to the desirability of focusing position design on need satisfaction of individuals.² A major premise of the personnel processes presented in the text following is that position design influences personnel behavior in a positive way; that such organizational characteristics as rigid adherence to hierarchy, precise specification of position activities, one-way communication, and undue constraints on abilities, energies, attitudes, and actions of the position-holder are unnecessary organizational ap-purtenances in educational institutions; that positive behavioral responses to work can be engendered through creative position design.

The Plans Dimension (Manpower-Planning Process)

A practical way to facilitate development of the system mission through manpower-planning is to utilize the planning tools most appropriate for this purpose. Let us look at one kind of planning tool, referred to herein as a *process*, and see how it can be employed in dealing with the complexities of personnel planning while the system is being guided from the present into the future.

The manpower-planning process, as depicted in Figure 4.3, consists of a series of interrelated subprocesses or a systematic series of related actions taking place in a definite manner and directed toward achieving the purposes for which it is initiated and maintained.

As noted earlier, a process is a series of sequential and interdependent steps by which an end is achieved. The sequence of events and activities in the manpower-planning process as outlined in Figure 4.3 includes

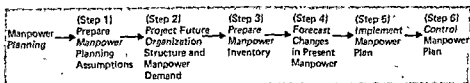


Figure 4.3. Model of the manpower planning process.

² A summary of research on the effect of organizational planning and need satisfaction is contained in Wendell French, *The Personnel Management Process: Human Resources Administration*, 2nd ed. (Boston: Houghton Mifflin Company, 1970), 153-175. Another useful summary of the effect of structures on individuals is contained in Dalton E. McFarland, *Management: Principles and Practices*, 4th ed. (Macmillan Publishing Co. Inc., 1974), 424.

- Development of manpower-planning assumptions.
- Projection of the organization structure and manpower requirements.
- Preparation of a manpower inventory.
- Forecast of changes in present manpower.
- Implementation of manpower plans.
- Control of manpower plans.

It is important to appreciate how the manpower-planning process operates, how the sequence of events comprising the process is interconnected, and how each subprocess stems from a preceding one. But it is equally essential to know that the manpower-planning process links with other processes to form the personnel function, that the personnel function is closely related to other broad administrative functions, and that the school system objectives determine the activities carried out through these functions. In brief, the manpower-planning process is an important component of the total system, and the manner in which it is designed, implemented, controlled, and linked to other system components will have a decided impact upon the extent to which organizational objectives are realized.

Before proceeding with a detailed discussion of each of the steps in the manpower-planning process, it should be noted that the organization needs to determine responsibilities for each of the sequential activities shown in Figure 4.3, as well as for administration of the total process. To a large extent, the manner in which manpower planning is dealt with in the school system will depend upon the structure of the organization. In other words, every school system engages in some form of planning that is concerned with both systemwide and unit objectives, with educational programs to achieve those objectives, and with activities involved in carrying out the programs. Also, a determination is made as to which activities will be carried on in each of the school attendance units and which in the central or regional administration. The preponderance of organizational planning in a school system takes place in the central administration. In many school systems such planning is the responsibility of the superintendent of schools and his immediate subordinates. Considerable responsibility for manpower planning is generally delegated to personnel at the highest levels of the system. If the system employs a personnel director, varying aspects of the manpower-planning process often come under his jurisdiction. These include

- Clarifying for the chief executive and his immediate subordinates the nature of the manpower-planning process and its subprocesses.
- Assisting with establishment of effective manpower planning in all subdivisions of the school system.
- Conducting analyses of manpower requirements based on projection of the organization structure.

- Conducting a manpower inventory.
- Assessing effectiveness of manpower plans.
- Developing plans to minimize human problems growing out of organizational changes.
- Helping the central administration to link organizational objectives to position design.
- Assisting the organization to develop plans for making position and persons compatible.
- Developing personnel policies to carry out manpower plans.
- Persuading the central administration of the significance of developing and maintaining a competent staff.
- Helping the central administration to realize that manpower planning is essential to organizational effectiveness.

Although there are major aspects of planning in a school system that are not the responsibility of the personnel director, it is equally true that most long-range and many short-range plans involve personnel considerations. As we shall see in subsequent sections of this chapter, organizational planning and personnel administration are inseparable. Implementation of organizational objectives generates a variety of personnel activities, each of which must be planned, organized, directed, and controlled if it is to serve properly the broader purpose to which it is related.

Developing Manpower-Planning Assumptions (Step 1)

SYSTEM GOALS AND MANPOWER PLANNING

We have observed that the personnel function, like all broad administrative functions, is largely determined by the goals of the school system. As conceptualized in Figure 4.4, goals determine the program structure, and in turn the quality and quantity of manpower needed to implement the educational program, and the administrative processes and relationships employed to maintain the system. Hence, determination of the educational aims and expectations of the school system is an imperative administrative task, one which precedes all other organizational activities. That the abilities and values that enrollees are expected to acquire under the guidance of the school affect the size and characteristics of the school staff is evident to even the most casual observer. Goals are the ends toward which the program structure of a school system is directed. They determine the educational opportunities the school provides and, in turn, affect the size and composition of the school staff necessary for their implementation. It is worth restating here that goals

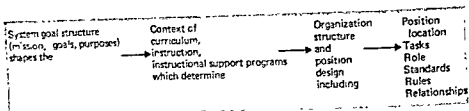


Figure 4.4. Interrelationship among goal structure, organization structure, and positions.

have little value unless they can be translated into attainable objectives. As understanding of school aims increases, it will be possible to make better decisions on what is to be taught, how it is to be taught, who is to be taught, who is to do the teaching, and how effective the instruction.

PLANNING ASSUMPTIONS

After the overall goals of the school system have been established, additional planning assumptions need to be made before the organization structure that will best meet the future needs of the institution can be visualized. These are planning assumptions or premises that are derived from the broad goals, and they are essential to the preparation of specific forecasts, master plans, policies, programs, and budgets. Table 4.1 contains a series of questions designed to illustrate salient elements to be considered in arriving at planning assumptions. That is, if the school system wishes to project an ideal form of organization to reflect its basic goals, answers to questions such as those posed in Table 4.1 are indispensable to the planning task. Planners need to know, for example, the bases on which pupil enrollment forecasts will be made, the number of schools needed to house the pupils, the nature of the educational programs to be conducted within each school, the kinds and extent of services to be rendered, and the staffing arrangements, both professional and nonprofessional, that are envisioned. The implication of this line of analysis is that the projection of an organization structure and the manpower needed to complement it begins not with available personnel, but with the basic goals of the system. Projecting the future structure and the manpower to operate it requires premises based upon evaluation of numerous elements that impinge on educational planning. Reference to Figure 4.1 is useful, at this point in the discussion, to point out that planning assumptions are clearly concerned with changes in the internal and external environment that affect the future organization structure. Some of these variables are examined in the paragraphs which follow. They include the educational program, position design, instruc-

Table 4.1. Critical Considerations Involved in Developing Manpower-Planning Assumptions

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- What persons in what age groups should be educated at public expense? Within what age limits should pupils be compelled to attend school? What pre- and post-compulsory age groups should be included in the educational program?
 - What purposes are schools expected to achieve? What should be the range and nature of educational experiences provided by the school system to achieve its purposes?
 - How should the educational program be structured? Should it be similar to or different from the following pattern?

	<i>Age Groups</i>
Prekindergarten	3-5
Kindergarten	5-6
Elementary school	6-12
Middle school	12-15
Senior high school	15-18
Junior college	18-20
Adult education	16 years and more

-
- What are the most effective ways of organizing instructional groups?
 - What methods, materials, and services should be used to make educational experiences meaningful to learners?
 - What should be the size and composition of the professional instructional staff? The administrative staff? The noncertified staff? To what extent should the staffing of each attendance unit be decentralized?
 - What special services should be provided in each of the school attendance units? In the central administration?
 - What systemwide services to teachers—for example, continuing education, supervision, professional library, curricular and instructional aids—should be provided?
 - What central administrative services—for example, pupil personnel, staff personnel, logistics, plant, research, planning, external relations, and coordination—are necessary?
 - What should be the size and deployment of the classified staff—for example, custodial, maintenance, transportation, food, clerical, and security services?
 - What positions should be retained in the future organization structure? Added? Dropped? Modified?
 - To what extent should existing personnel comprise the future organization structure? New personnel?
 - How can the future structure be organized to satisfy member needs more effectively?
-

tional and instructional support roles, staff size, staff deployment and balance, and staff utilization.

Planning Assumptions: The Educational Program

Nature and Scope of the Educational Program. The nature and scope of the educational program constitute a major planning consideration in every school system. The size of the school staff, as well as its composition, are derivatives of policies established to govern the educational program. Examination of Table 4.1 makes it possible to understand the

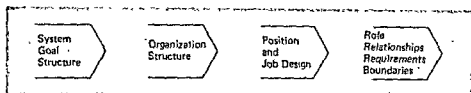
close relationship between fundamental policy decisions concerning the educational program and requisite staffing provisions. Determination of the educational program structure, it should be noted, involves selection from a number of alternatives, because local school districts provide both mandated and discretionary educational opportunities, ranging from infancy through adulthood. The nature and scope of the educational program that the administration decides to put into effect must be made against a background of existing plans, facilities, community character and composition, social and educational change, and size and fiscal potential of the administrative unit. These and other factors are conducive to wide variations in educational opportunities, staffing practices, and expenditure levels in school districts across the nation. Existing knowledge indicates that as the level of educational services increases, there is a corresponding increase in expenditure level and staffing demand. The educational plan, then, greatly influences the size and composition of the school staff, which in turn conditions the kind and amount of educational services available to pupils.

Planning Assumptions: Position Design, Redesign, and Motivation

It was noted earlier that the purpose of this chapter is to provide a framework in which to examine specific manpower planning and procedural problems as the school system evolves into a future organization structure. It has been noted, also, that once the system goal structure has been established, the task of dividing and integrating the work evolving from the goal structure into units and positions can be undertaken. This process is referred to by Thompson as the "task-specialization process," a diagram of which is inserted below for illustrative purposes.³ This concept is further elaborated upon in Table 4.2, which is designed to show the nature and scope of school system work, positions evolving from the required work activities, and the structural settings in which the work is performed. Examination of the information contained in Table 4.2 leads to the following observations regarding long-run manpower planning:

- The work involved in operating a modern school system is extremely varied. The content of the work to be done, both in instructional and instructional support programs, requires a wide range of skilled personnel, from professional executives to unskilled labor.

³Victor A. Thompson, *Modern Organization* (New York: Alfred A. Knopf, Inc., 1961), 25-26.



- Wide variations in positions and jobs within a school system make the task of planning the future organization structure a complex and challenging endeavor. The task is made difficult not only because of the need to project the requisite quality and quantity of personnel, but because of the need to design new jobs and to redesign existing jobs within the structure, positions that are conducive to personnel satisfaction and performance.
- There is no single model that can be advocated as being more effective than other models in allocating responsibilities to positions and in assigning personnel to positions. Sergiovanni and Carver, for example, suggest
 - (a) the *behavioral science model* (responsibilities are allocated on the basis of motivational potential and commitment level of teachers).
 - (b) the *education model* (different types of objectives require different personnel. The best-prepared teachers, for example, are assigned the more sophisticated objectives).
 - (c) the *engineering model* (allocation of work on the basis of detailed job analysis).⁴

The value of the foregoing models is that they provide alternative ways of designing positions and matching people with those positions. One limitation in implementing any of the models is that there are legal, union, organizational, and programmatic constraints which restrict the suggested approach to allocation of responsibilities and personnel. These are factors to be considered in any type of manpower planning. Because of variations in school system positions, as suggested in Table 4.2, as well as variations in the skills of existing personnel, each of the models must be considered *situational*, and should be used when conditions are appropriate.

Work and Motivation. One of the advantages of thinking about the positions that will comprise the future organization structure is that their creation presents opportunities for designing new positions and redesigning existing ones so that personnel will make the kinds of decisions suggested earlier (Figure 1.6), such as: (1) join and stay in the organization; (2) work independently; (3) exceed role expectations; (4) cooperate with others; and (5) carry out self-training. Work, by modern

⁴ Thomas J. Sergiovanni and Fred D. Carver, *The New School Executive: A Theory of Administration* (New York: Dodd, Mead & Co., 1973), 129-130.

Table 4.2. *Nature and Scope of School System Work, Positions, and Structural Settings*

<i>Types of System Work</i>	<i>Types of Positions</i>	<i>Structural Setting</i>	<i>Hypothetical Proportion of Total System Personnel (%)</i>
		Central administration.	1
A. Planning; organizing; leading; controlling total system.	Professional administrative: superintendent; assistant superintendent; associate superintendent; directors; assistants to higher-level positions.	Individual client service units (schools).	3
B. Planning; organizing; leading; controlling individual school attendance units.	Professional administrative: principals; assistant principals; assistants to department heads; team leaders.	Individual client service units (schools).	62
C. Instructional programs (regular, special).	Professional teaching: Classroom teachers. Professional specialists: art; health; library; guidance; music; physical education; psychological service; reading; speech correction; home-school visits; audio-visual.	Certain personnel work under direction of central administration; others work in attendance units under direction of principal.	34
D. Instructional support programs; operation; maintenance; food service, transportation; health, security; secretarial; clerical.	Classified: skilled; semiskilled; unskilled.		

definition, is an activity which produces something of value for other people.⁵ Its functions are social, economic, and personal. Position design in school systems can be employed to motivate personnel to make the kinds of decisions just referred to by taking into consideration the following factors, which are probable determinants of satisfaction and dissatisfaction at work: (1) occupational status, (2) job content, (3) supervision, (4) peer relationships, (5) wages, (6) mobility, (7) working conditions, and (8) job security.⁶ From the standpoint of personnel administration, position design can serve several functions, one of which is to fashion positions in a way that they have an appeal to the able individual whom the system is seeking to attract. Second, enrichment and extension of existing and new positions can influence personnel to decide to perform in ways conducive to organizational expectations. In a sense, the designing and redesigning of positions is one approach to making work meaningful. This includes the personal function of work, which is to say that work should contribute to the self-esteem of every position-holder, in the sense that the individual at work is contributing to a purpose, is engaging in an activity valued by others, and by gaining control over his work is mastering both himself and a key element in his environment. In this review of the means for enhancing position performance and minimizing, through position design, the economic, social, and personal consequences of work dissatisfaction, one of the assumptions that certainly warrants a place is this: not only is it feasible to redesign many positions and to restructure various plans of school systems, but the range of opportunities for work humanization is extensive. We turn now to consider what can be done about redesigning several key positions, the purpose of which is to illustrate that modification of the future organization is shaped to a considerable degree by the visions held of what a properly designed position means to the life of both the individual and the system.

Position Redesign: The Classroom Teacher. The position of greatest significance in the school system, both numerically and educationally, is that of the classroom teacher. Within recent years, the restricted role of the teacher, the manner in which his or her activities are organized, and the clients grouped for instruction have come under heavy fire from many quarters.⁷ The professional isolation, the ill-defined roles, the in-

⁵ Report of a Special Task Force to the Secretary of Health, Education, and Welfare, *Work in America* (Cambridge, Mass.: The M.I.T. Press, 1973), 2.

⁶ Robert L. Kahn, "The Meaning of Work: Interpretation and Proposals for Measurement," in A. A. Campbell and P. E. Converse, ed., *The Human Meaning of Social Change* (New York: Basic Books, 1972), 193-195.

⁷ See Leslie A. Hart, "The Case Against Organizing Schools into Classrooms," *American School Board Journal*, 161:6 (June 1974), 33-34.

attention to conflicts between roles and ability levels of teachers, failure to consider differences in experience in making assignments, limitations in the time a teacher is able to give to instruction and individualization—all are factors to which critics point in suggesting that the time has arrived for redesigning the role of the classroom teacher. The emergence of new forms of instructional grouping, such as differentiated staffing, has pointed the way to position redesign in the classroom, but the gap between the idealized and actual activities of the classroom teacher continues to be considerable. The role of the classroom teacher in the future will be unlike anything we have ever known, if the reformers have their way.⁸ The 12-month year, the teacher as a clinical specialist instead of a general practitioner, elimination of scheduled classes, 30-hour teaching schedules, the extension of the nongraded school concept, wider use of educational technology as an instructional supplement, multimedia centers, computer-assisted instruction, simulation, behavioral objectives, team teaching, programmed learning, vouchers, Montessori methods, and microteaching are among the current inventory ideas for improving teaching.⁹

Position Redesign: The Principalship. The existing design of the principalship is another important matter in education about which the critics have had much to say. One intensive study of the principalship questions whether this role, as presently designed, is one of top-role leadership, one of uniting a staff in a cooperative effort toward goals that will make the school a continuously improving institution.¹⁰ Putting out fires, resolving minor conflicts, and constantly engaging in the antithetical roles of detective, prosecutor, witness, judge, warden, and parole officer do not permit the principal, it is averred, to perform as a catalyst for change. The position as now designed, according to some, is managerially focused rather than professionally oriented, is untenable because of lack of clear role definition in relation to the central staff, and because principals are required to carry out negotiated contracts in which they had no part in formulating. In brief, restructuring of the principalship to focus upon both the leadership and the management functions is a design problem worthy of attention.

⁸ See Ole Sand, "Staffing for the 1990's," *The School Administrator* (November 1971), 2.

⁹ Harold G. Shane, "Looking to the Future: Reassessment of Educational Issues of the 1970's," *Phi Delta Kappan*, 55:5 (January 1973), 330.

¹⁰ See Harry F. Wolcott, *The Man in the Principal's Office—An Ethnography* (New York: Holt, Rinehart, & Winston, Inc., 1973); also Daniel Griffiths, "What Happens in the Principal's Office?" *University Council for Educational Administration Newsletter*, 14:1 (October 1974), 4-7; Keith Goldhammer, et al.; *Elementary School Principals and Their Schools* (Eugene, Ore.: University of Oregon Press, 1971), 4-5.

Position Redesign: The Personnel Director. A third illustration of a key position that calls for redesign in the future organization structure is that of personnel director or its equivalent in the central administration. Although the case has been made countless times for the creation of a central staff position with primary responsibility for directing the system's personnel function, the majority of school systems in the nation do not yet have one. As it comes into being in school systems of the future, the position design should be visualized as being responsible for developing and maintaining an integrated staffing process. That is, with directing several distinct flows of individuals into, within, and eventually out of the several administrative, teaching, and classified positions in the system. The key position directing the personnel function would also focus upon moving from a bureaucracy to an "adhocracy," support of continuing education, encouragement of mobility, enhancement of the individual's rights, freedom of access to information, objective determination of compensation, participative management, facilitative leadership, congruent physical and social contexts, autonomous work groups, and integrated support functions.¹¹

We have seen in the foregoing discussion that the redesigning of positions in education awaits action by the school systems. The precise nature of the redesign is a matter for experimentation within each system as it plans for the future.

Planning Assumptions: Instructional Roles and Settings

Organization of Instruction. One of the dimensions inherent in the educational program is the manner in which educational experiences are organized to achieve the goals of the school system. It is not difficult to appreciate the fact that assumptions made about the manner in which pupils should be grouped for educational purposes affects the size and composition of the school staff. Throughout the history of American education, many plans have been employed for the formation of instructional groups. These include, particularly at the elementary-school level, the Departmental, Platoon, Winnetka, Dalton, and Cooperative Group plans. Other schemes for organizing instruction include flexible scheduling, ability grouping, dual progress, the self-contained classroom, team teaching, nongraded classes, graded classes, and special classes.

¹¹ See John R. Hinrichs, "Restructuring the Organization for Tomorrow's Needs," *Personnel*, 51:2 (March-April 1974), 8-19; Report of a Special Task Force to the Secretary of Health, Education and Welfare, *Work in America* (Cambridge, Mass.: The M.I.T. Press, 1973), 93-120.

Each reflects viewpoints on instructional means for attaining educational objectives.

Size of Instructional Groups. Class or group size refers to pupil membership in a group organized for instructional purposes. The question of how many pupils should be assigned to an instructional group has been and still remains the subject of serious concern by all who are interested in the nation's schools. Assumptions regarding class size, it should be noted, are of vital significance to manpower planning. There are several reasons why so much significance is attached to the question of class size. The first is the educator's quest to provide grouping arrangements most conducive to learning and study. Although it is clear that a given class size is no absolute guarantee of the educational progress of all children, many educators are convinced that the grouping plan is an important contributor to educational attainment.

A second reason is the matter of cost. There is considerable difference between the budgetary requirements of a school system that decides it needs one classroom teacher for every twenty pupils and one that sets the class size at forty pupils.

As noted earlier, the major share of current expenditures in a school budget for any fiscal year is allocated to staffing requirements. In searching for the maximum return for every dollar invested, assumptions about class size are always open to question. If a class of twenty-five is as effective for educational purposes as a class of twenty, is adherence to the latter figure educationally and fiscally defensible?

The rapid growth of collective negotiations in public education is another reason why planning assumptions must include consideration of class size. The matter of class size has become a negotiable item in many contracts between teachers and boards of education. This may prove to be an impediment to new forms of instructional grouping and staff utilization.

Despite experimentation with new forms of instructional grouping, educational technology, and staff utilization and deployment, the question of class size cannot be dismissed as irrelevant when developing manpower-planning assumptions. In making the assumptions, consideration must be given to the purpose for which instructional groups are formed (the type of learning desired), the intellectual and emotional needs of pupils, the skills of the teacher, and the nature of the subject matter.

It is clear that grouping schemes are no substitute for excellence in teaching, for adjusting methods and materials of instruction to the individual pupils, and for making provisions for those children whose adjustment will be difficult under any organized plan of instruction. It is equally plain that regardless of the grouping plan, every school system needs a staff that is adequate in size and composition, one that is deployed

and balanced properly, to provide all pupils with essential instructional services. Although class size is important, the key concept in developing manpower-planning assumptions is staff size.

Planning Assumptions: Staff Size

The Professional Staff. An index of staff size is the number of professional staff members per 1,000 students. This index is preferable to class size or to pupil-teacher ratio statistics, because its meaning is straightforward.¹² Average class size fails to reveal the diversity of class sizes, and pupil-teacher ratios never make it clear whether the ratio includes only classroom teachers or all professional, licensed staff members.

An illustration of the manner in which staff size is computed is provided in Table 4.3. In the particular school system under consideration,

Table 4.3. *Method for Computing Staffing Ratio**

A. Goodville School District has the following pupil membership:

Grades	Resident Membership	Nonresident Membership	Total Membership	Resident Pupils for Whom Tuition Is Paid in Another District	Staffing Pupil Units
K	939	1	940	0	470.0
1-6	4,065	39	4,104	0	4,104.0
7-12	3,397	23	3,422	1	3,764.2
Total	8,401	65	8,466	1	8,338.2

B. The district has 392 professional employees, including superintendent, principals, teachers, administrative assistants, special teachers, psychologists, nurses, teachers of special subjects (who are not counted as regular teachers), and librarians.

C. To compute the number of staffing units in the system, use the average daily membership, which includes pupils sent by other districts; exclude resident pupils sent to other districts.

1. Divide total (half-day) kindergarten membership by 2 ($940/2 = 470$).

2. Multiply total secondary membership by 1.1 to account for the difference in secondary-over elementary-school staffing ($3,422 \times 1.1 = 3,764.2$).

3. Compute total staff units ($470.0 + 4,104.0 + 3,764.2 = 8,338.2$).

D. Professional Staff Size:

$$\frac{\text{Professional employees} \times 1,000}{\text{Staffing pupil units}} = \frac{392 \times 1,000}{8,338.2} = 47 \text{ professional staff members for every 1,000 pupils}$$

* Staffing ratio is defined as the number of staff members per 1,000 students.

¹² Class size refers to the number of pupils enrolled in a class or instructional group. Average class size is the average number of pupils enrolled in all classes in a school attendance or administrative unit. Teacher-pupil ratio is the number of pupils enrolled per full-time teacher. Staff ratio is the number of staff members per 1000 students (see Table 4.3).

the size of the professional staff is 47 members for every 1,000 pupils. Guidelines in literature, statute, and local policy regarding school staffing ratios indicate that districtwide ratios of total professional staff to students range from 47 to 68 professionals per 1,000 students. This extensive report prepared by the NEA Research Division notes that ". . . our search has not turned up a tested model which has received general acceptance in the educational community." The report also notes: (1) that a staffing model to fit all situations, when the various factors that can affect the number and type of personnel a school system should employ are taken into consideration, poses numerous problems; (2) no model can take into account the skills and experience of personnel used to fulfill that ratio, i.e., 20 teachers picked at random will fulfill a staffing ratio of 20 teachers to 400 pupils, but may not provide the exact mix of skills necessary to provide a good education program for those 400 pupils.¹³

Needless to say, planning aimed at developing the optimum professional staffing ratio of the school system (that ratio which allows it to accomplish its goals most effectively) must make certain assumptions about the number of personnel needed for that purpose. As will be pointed out in the following sections, planning assumptions about professional staffing ratio take into consideration relative numbers of classroom teachers, specialists, and administrators. The size of the service staff needed to support the professionals should be included in developing the total school staffing ratio-size estimates.

Planning Assumptions: Instructional Support Roles and Settings

Professional Specialists. Most school systems employ, in addition to classroom teachers, professional personnel classified as *specialists*. Included in this group are professional personnel, usually defined as those who spend at least part of their time in instruction in such areas as guidance, art, health, library, music, physical education, psychology, reading, speech correction, teacher aid, and home and school visitation. Criteria usually employed to classify instructional specialists are that they have professional certificates, that they render specialized services not confined to a single classroom, and that the service rendered is primarily to children rather than to adults. Given the premise that school systems need both classroom teachers and specialists, the question of

¹³ Educational Research Service, *School Staffing Ratios: Guidelines in Literature, Statute, and Local Policy*, ERS Circular No. 3, 1972 (Washington, D.C.: National Education Association, 1972), 1.

personnel priorities then arises. Having established the total number of professionals to be employed, and assuming that funds have been budgeted for improving classroom instruction, decisions need to be made on the relative number of classroom teachers and specialists and paraprofessionals. The alternatives open to school officials include

- Maintaining present staffing ratios.
- Adding more professional specialists.
- Adding more teachers, thus lowering class size.
- Employing paraprofessionals to assist classroom teachers.
- Purchasing equipment and materials to alter existing instructional procedures.
- Hiring more classroom teachers, more specialists, and a few paraprofessionals.

The foregoing list brings into focus the alternatives to be considered in making assumptions about staffing ratios, not only for the annual budget but for the future manpower requirements of the organization.

Paraprofessional Personnel. Throughout the nation, various experiments continue to be made in alternative patterns of school organization and staff deployment in order to create new and different roles for classroom teachers and to bring about staffing arrangements quite different from the majority of those presently in operation. Consider, for example, a staffing pattern in which there are differentiated assignments for the professional members of the instruction team and for the paraprofessionals, who form a supportive staff to assist in carrying out instructional plans. The paraprofessionals referred to are full- or part-time members of the staff who might perform tasks such as supervising the movement of children, taking attendance, preparing instructional materials, and assisting in the utilization of educational technology in the learning process. Typical of paraprofessionals are student teachers, parents who work as volunteers in service capacities, and individuals placed on the payroll and trained to render support service to the instructional process. As will be noted subsequently, the purpose of a varied staff is to make maximum use of teacher talent. The matter has been brought into focus at this point in the discussion of manpower planning to show that the use of paraprofessionals for staffing schools is an essential consideration in determining the future manpower requirements of the system.¹⁴

¹⁴ The legal lag in position design for teacher aides is summarized by states in Charles Tollett and Dan Tollett, "Teacher Aide Laws are a Mess—and an Invitation to Legal Troubles for School Districts," *American School Board Journal*, 161:6 (June 1974), 29-32.

Professional Administrators. An administrator may be defined as a member of the professional school staff who has been granted authority (written) to organize, direct, and control the work of subordinates or who renders staff assistance to other administrators.¹³

The problem of administrative staff size is one that continually engages the attention of students of school administration. It has long been argued, and with complete justification, that most school systems suffer from administrative deprivation.

The task of defining how large an administrative staff should be is complicated by many factors. There is great diversity among school systems—in size, educational programs, financial ability, location, and community aspirations for education, all of which make for differences in administrative personnel provisions. Although there are various indicators to measure the size of a school administrative staff, none is considered a precise yardstick to determine what the optimum administrative staff should be.¹⁴ That there are differences in the way schools are staffed administratively is shown by the data in Table 4.4. It is interesting to note that the range in percentage of personnel allocated to administration is considerably smaller than the range cited for any of the other personnel categories.

The problem of determining for a school system of a given size the optimum number, types, and competence of administrative personnel involves a variety of considerations. In undertaking this task, perhaps the most important question at the outset is what the school system is expected to accomplish. When the school system has clearly identified its objectives, which are reflected in policies and programs, it can concentrate on the administrative functions to be performed, the specific tasks related to each function, and the number and types of personnel needed to perform the functions.

Careful analysis of the current organization structure will help to determine its suitability for accomplishing established goals. Among the questions to be asked in appraising the current administrative structure are the following:

- What is the present administrative staffing pattern?
- What types of administrative positions now exist?
- What are the functions of the various administrative positions?
- How are activities of the various positions coordinated?
- Are relationships among administrative positions clarified so that

¹³ Superintendents, assistants, principals, business managers, coordinators, directors, supervisors, and assistants to administrators are included in this category.

¹⁴ A useful indicator of professional administrative staff size is the number of professional administrators per 1,000 pupils.

Table 4.4. Organizational Size and Personnel Components

Size of District (ADM)	Number of Districts	Per Cent of Classroom Teachers	Per Cent of Instructional Specialists	Per Cent of Administration	Per Cent of Service Personnel	Total Budgeted Personnel (Number)
Over 11,999	5	57.02	11.72	4.26	29.34	5473.8
11,500-11,999	1	67.31	7.04	3.41	22.25	881.0
11,000-11,449	0	—	—	—	—	—
10,500-10,999	5	57.01	11.19	4.82	26.10	4008.0
10,000-10,499	1	61.05	13.18	5.56	20.06	683.0
9,500-9,999	5	59.71	11.55	4.02	25.15	3455.0
9,000-9,499	2	64.49	8.87	4.65	22.06	1376.1
8,500-8,999	2	61.38	13.96	4.44	19.49	1103.0
8,000-8,499	3	59.77	11.17	4.27	24.56	1781.8
7,500-7,999	6	55.37	13.03	4.61	26.88	3542.2
7,000-7,499	0	—	—	—	—	—
6,500-6,999	2	59.90	13.30	3.92	23.87	970.0
6,000-6,499	7	56.76	13.63	4.41	25.71	3220.6
5,500-5,999	4	56.75	14.91	3.76	21.89	1589.3
5,000-5,499	6	59.60	12.02	4.47	23.98	2134.3
4,500-4,999	11	59.55	12.38	4.23	24.32	3786.6
4,000-4,499	10	57.22	12.15	3.87	26.91	3217.1
3,500-3,999	7	61.04	13.93	3.68	21.68	1739.9
3,000-3,499	9	55.47	15.63	3.88	25.19	2163.2
2,500-2,999	16	62.16	14.23	4.10	26.43	2915.4
2,000-2,499	6	61.29	14.74	3.87	22.53	905.5
1,500-1,999	16	58.06	13.76	3.87	24.33	1955.0
1,000-1,499	4	55.98	18.06	3.96	23.62	403.7
500-999	4	58.85	15.75	4.97	21.67	241.3
High	—	64.49	18.06	5.56	29.34	—
Low	—	55.37	7.04	3.41	19.49	—

Source: Data from school districts in metropolitan Philadelphia area, Files of Center for Field Studies, Graduate School of Education, University of Pennsylvania.

duplication of effort and neglect of essential responsibilities are minimized?

- Are administrative resources sufficient to carry out immediate and projected responsibilities?
- Does the administrative staff have enough time to develop and to initiate new plans?
- What organization of administrative personnel will most help them to do their work?

Although it would be presumptuous to identify here a single administrative structure to serve any and all school systems, some guidelines can be suggested to serve as a basis for developing planning assumptions. These include

- *Unit control.* Appointment of a chief executive who serves as executive officer to the board of education; whose reporting relationship is

exclusively to that board; who acts as policy advisor to the board; and who is responsible for nominating to the board all personnel to be employed in the system.

- *Sufficient manpower to administer the system.* In the central administration there should be provision for a minimum number of assistant superintendents to perform functions such as logistics, personnel, instruction, planning, and external relations.
- *Full-time administrators for every school attendance unit.* Large, modern secondary schools need, in addition to department heads and coordinators, several full-time administrators in the central office: a principal, and assistant principals for funds and facilities, student behavior, and student activities.
- *Emphasis upon administrative teamwork.* Planning what, and how much, organizing, leading, and controlling should be done by superiors, and how much and what should be done by subordinates.
- *Clarification of work responsibilities, and reporting relationships by means of position guides, organization charts, and the organizational manual.* There should be meaningful objectives for each position.
- *Emphasis upon the instruction function.* Consideration of ways of making the instruction function the central concern of the system—by designing the administrative structure to that end.

Service Personnel. Service or classified personnel are school system employees who perform work for which no educational certification is required and who do not participate directly in the instructional process. Clerical, maintenance, operation, food service, security, and transportation employees are usually grouped in this category. As illustrated in Table 4.4, the number of classified employees in relation to the total staff varies considerably. Determining the size and deployment of the supporting staff may be as formidable as determining administrative and instructional personnel needs.

The extent of supporting service, in the final analysis, is a matter of judgment for individual systems. Some major factors that affect determination of staff need, and which must be weighed in making decisions on this matter, include

- Standards of service established for secretarial, clerical, operation and maintenance, food service, transportation, and safety personnel.
- Plans for utilization of personnel.
- Competence of personnel.
- Extent to which certain services are performed on a contractual basis by nonschool agencies, such as catering of food service, cleaning, security, and snow removal.
- Availability of labor-saving devices.

- Union relationships.
- Number, size, and function of units in the school plant.
- Use of community agents for school functions (safety personnel to control traffic).
- Use of part-time and temporary personnel.
- Differences in building design.

The size of the site, variations in the foregoing topography factors, and unique characteristics of buildings and grounds, make it improbable that sound decisions concerning the size of the logistical support staff can be arrived at through the use of arbitrary ratios or formulas. Some school districts need extensive transportation services; others require none. Some have a comprehensive support program for every attendance unit; others may extend services to some units and not to others. Additional illustrations could be cited to indicate variations among school districts in all kinds of supporting services. But the point is that only by careful analysis of the key factors that affect the number of personnel needed can reasonable judgments be reached.

There are at least two premises that enter into decisions on support service. The first is that expenditures for support personnel should not be increased at the expense of the educational program. Every dollar so expended is diverted from instruction—the reason for the school's existence. The second is that logistical service should meet the requirements of the educational program and provide for the health, comfort, and safety of pupil and staff personnel. Essentially, the problem is one of maintaining a defensible balance between necessary service and economical use of the operating force.

The logistics problem thus involves a critical examination by administration of the essential amount and kinds of service necessary to support the educational program. This means that there must be a definition of what maintenance, operation, transportation, secretarial, clerical, food, security, and safety services are to be provided, as well as what standards of service are to be maintained.

Planning Assumptions: Staff Deployment

Staff size is not the only consideration in developing manpower-planning assumptions. An equally important consideration is the allocation of personnel to organizational tasks. The underlying concept is referred to as *staff deployment* and involves effective and economical arrangement of appropriate numbers of personnel within and among the four major personnel categories (professional teachers, professional

specialists, professional administrators, and service personnel). Questions such as the following arise in making decisions about how many and what types of staff members should be allocated to these four categories:

- In deploying instructional personnel, what assumptions should be made about class size and the relative numbers of professional classroom teachers and specialists?
- In deploying professional specialists, what assumptions should be made about the self-sufficiency of attendance units?
- Because of current knowledge on early childhood education, what are the implications for staff-deployment?
- How can staffing imbalances among the four personnel categories be minimized when decisions relating to the foregoing questions are made?

The following text analyzes some of the problems and issues involved in making assumptions about staff deployment.

Deployment of the Professional Instructional Staff. According to McKenna, once a decision is made about employing a given number of professional staff members, there are two major choices in staff allocation open to school officials.¹⁷

- Hire many teachers (to keep classes small) and few specialists.
- Hire fewer teachers (larger classes) and more specialists.

It appears reasonable to assume that whatever decision is made by a school system about the number of classroom teachers it will employ, it will also need to give consideration to the number and type of specialists needed, and to the priority of each need.¹⁸

Decentralized Organization and Staff Deployment. The present trend toward decentralizing school organizations has implications for the deployment of professional personnel. Ideally, school attendance units should have a high degree of self-sufficiency and should depend upon the central administration for the performance of those services that the units cannot undertake effectively. Under this arrangement, guidance, psychological, library, and other specialized services would be attached to the attendance unit.

¹⁷ Bernard H. McKenna, *Staffing the Schools* (New York: Bureau of Publications, Teachers College, Columbia University, 1965), 53.

¹⁸ Eight patterns of professional staff deployment identified by McKenna are uniform staffing, uniform class size, small class size, large class size, small elementary class size, large elementary class size, small secondary class size, and large secondary class size.

Without going into an extensive analysis of the merits and demerits of a decentralized school organization, let us remark that if decentralization of specialized services is accepted as a planning assumption, staff deployment will be different from when such services are highly centralized.¹⁹

Staff Deployment and Early Childhood Education. Distribution of staff members to provide instruction and special services, and the priorities to be established for allocating staff among these functions, are inextricably related to educational goals. In considering staff deployment, the findings of Bloom are significant.²⁰ The increasing evidence summarized by Bloom, to the effect that "early childhood education is the key to insuring that the following ten or twelve years of required public education are not wasted" has implications for staff allocation. If the early years of education are fundamental to all that follows, different approaches to staff allocation—those that would focus on better teaching and special services in the earlier years of school—are in order. Bloom suggests, for example, that because of the vital role of individualization of learning and instruction in early childhood, a ratio of one adult to fifteen children might be regarded as minimum for the first grade, with slightly higher ratios for the next two grades.

One aspect of staff allocation in special services is the need for more guidance and psychological service personnel to deal with such matters as the prediction of academic achievement of individual children, identification of talent, improvement of the sequence of learning, and improvement of the cumulative record as an instrument in planning child development. At this juncture we should mention the key role of the attendance unit in providing for continuity in furthering the maximum development of each child in its jurisdiction. It is precisely for this reason—the concern for the overall development of each child—that the idea of self-sufficiency for each attendance unit has been stressed. The main function of the principal and his staff is to facilitate the development of individual children over a given period of time. This requires personnel who are in residence, so to speak, at the attendance unit. Periodic visits by central office personnel cannot solve the problems related to child development. A more intimate and prolonged association is needed. Although central instructional personnel are undeniably essential if the school system is to accomplish its aims, it is equally important that the

¹⁹ See Albert H. Shuster and Don Stewart, *The Principal and the Autonomous Elementary School* (Columbus, Ohio: Charles E. Merrill Publishers, 1973).

²⁰ Benjamin S. Bloom, "Stability and Change in Human Characteristics: Implications for School Reorganization," *Educational Administration Quarterly*, 2:1 (Winter 1966), 34-49.

self-contained attendance unit be provided with administrative, instructional, and specialized personnel who will work as a team to plan for the comprehensive development of each child.

The foregoing emphasis on child development as a determinant of staff deployment leads to a reconsideration of the traditional practice of allotting available specialized services, such as guidance, to the secondary rather than to the elementary school.

Staff Category Balance. Another consideration in deploying personnel involves the establishment of a reasonable balance among major staff categories. The data shown in Table 4.5 illustrate the problem rather strikingly. In some of the school systems included in the sample, the relatively large number of service personnel employed creates an obvious staffing imbalance. As noted earlier, the educational program suffers when staffing imbalances are created and permitted to continue. Planning to avoid such imbalances among all categories of personnel is basic to staff deployment decisions.

Table 4.5. *Ratio of Professional to Service Personnel*

<i>Professional Personnel Divided by Service Personnel</i>	<i>Number of Systems</i>
Over 7.99	0
7.5-7.99	0
7.0-7.49	1
6.5-6.99	1
6.0-6.49	3
5.5-5.99	2
5.0-5.49	4
4.5-4.99	4
4.0-4.49	15
3.5-3.99	20
3.0-3.49	24
2.5-2.99	26
2.0-2.49	29
1.5-1.99	3
Total	132
High	7.9
Q ₄	3.9
Median	3.2
Q ₁	2.5
Low	1.5

Read as follows: One system has 7.0 to 7.49 times as many professionals as service personnel; three systems have from 1.5 to 1.99 times as many professionals as service personnel. *Source:* Data from school districts in metropolitan Philadelphia area. Files of Center for Field Studies, Graduate School of Education, University of Pennsylvania.

Planning Assumptions: Staff Utilization

Staff utilization encompasses many things. It involves:

- Devising ways whereby the ablest teachers can be made available to more students.
- Assessing staff abilities and maximizing them for instructional purposes.
- Conserving the energies and talents of the staff for genuine educational tasks.
- Recognizing staff differences and making teaching assignments accordingly.
- Relieving the instructional staff of routine work that can be performed effectively by personnel, such as clerical and instructional assistants employed for this purpose.
- Supporting the professional functioning of teachers through greater and more imaginative use of modern technological aids to instruction.

Staff utilization involves all of these things and, at its best, represents a systematic effort to utilize fully and economically the abilities, time, and energies of personnel to maximum advantage. One method of improving staff utilization, referred to herein as *differentiated staffing*, is discussed next.

Differentiated Staffing. The individualization of programs for pupils, based upon their needs and interests, has long been a cardinal concern in American education. It has become increasingly clear in recent years that in order to realize this aim the basic role of the teacher will have to change drastically. As noted earlier, the traditional concept of a school staff consisting of classroom teachers who are generalists is coming under careful scrutiny. Many practitioners contend that the role of classroom teacher as jack-of-all-trades is impracticable; that teaching a wide range of subjects effectively, besides taking care of a variety of nonteaching tasks, does not permit direct and intensive interaction with pupils. Consequently, the concept of differentiated staff has emerged as one method of coping with the growth of knowledge. Deployment of differentiated instructional personnel has potential for broadening and deepening the educational program as well as for employing most effectively the interests, skills, and special knowledge of staff members. The National Commission on Teacher Education and Professional Standards describes its position and the concept of differentiated staffing in this statement:

The definition implies that under a *differentiated staffing arrangement* education personnel would be selected, educated, and deployed in ways that would

make optimum use of interests, abilities, and commitments and afford them greater autonomy in determining their own professional development.

A differentiated staff would include teachers and a variety of special service personnel, subject matter specialists, administrators, student teachers, interns, persons from other professions, craftsmen, volunteers, and several categories of paraprofessionals and teacher aides. Within the classroom teaching ranks, some professionals might serve as leaders, responsible for induction of new teachers, coordination of teams of associates and assistants, and general management of the learning setting. Others might function mainly as diagnosticians of learning difficulties, constructors of individualized programs for pupils, developers of interpersonal attitudes and behaviors, and the like.

Status and financial reward would be based on the complexity and intensity of the task the teacher chose to prepare for and assume. The traditional merit-pay issue would be avoided in that the teachers would be paid *differently* for assuming *different* responsibilities, as compared to being paid differently because they were judged to be performing *similar* tasks at *different* levels of quality.²¹

It is assumed, then, that size and composition of the school staff will be affected by staff utilization. But the whole problem of staff utilization is so interrelated with the organization of instruction that it is difficult to determine categorically what optimal staff utilization should be. That concepts and practices relative to staff composition and utilization are undergoing significant changes is evident from current innovations in the organization of instruction. In addition, new and changing roles of schools and teachers, as illustrated, will have considerable impact on staff deployment and utilization.

School planners need to give careful consideration to the utilization of available manpower in making estimates of the size and composition of school staffs. In increasing numbers, school systems throughout the country conceive classes to be of varying size; teaching assignments are varied, and much of the routine work is assigned to personnel below the professional level. The key idea is to enable the professionally trained teaching staff to render more professional service more effectively to more students.

Continued experimentation with different versions of a variable class-size plan, especially at the secondary level, to test the assumption that the nature of the subject should dictate the size of class and length of period, will involve assumptions about staff utilization. Different models of class size, for example (*unlimited size; moderate size; activity size; small groups; independent study*), will undoubtedly call for ingenuity in bringing the right kind of staff to meet the individual needs of all pupils.

²¹ National Commission on Teacher Education and Professional Standards, *A Position Statement on the Concept of Differentiated Staffing* (Washington, D.C.: National Education Association, 1969), 6.

Schedules and Work Load. The school schedule is an administrative device for realizing the aims of the educational program. Its construction involves decisions governing the kinds of instructional activities provided, number of personnel needed, sizes of instructional groups, length of instructional periods, staff work load, and assignment of duties appropriate to staff interests, training, and ability. Unfortunately, its significance is not always fully appreciated. Unless there is effective scheduling of pupils, plant, staff, and programs, much of the effort that goes into budgeting, recruiting, selecting, and developing school staffs will be wasted.

It must be recognized that scheduling, especially at the secondary level, is an important determinant of staff size. If the work load of each individual staff member is not carefully planned, both in terms of equity and utility, there is waste. If instructional activities of dubious value are scheduled, it is questionable whether this is the wisest use of staff time and tax funds. A high incidence of small classes or an exceedingly small pupil-teacher ratio increases school staff and expenditures. In short, the schedule involves a review of so many factors affecting educational progress—grouping, staff utilization, program breadth and depth, cost, staff size and deployment—that careful appraisal of its effects is decidedly one of administration's primary and continuous concerns.²²

The work load of each staff member has been the subject of discussion and research for many years. Its measurement is extremely difficult because of the intangibles that must be taken into account, including out-of-school activities, community demands, curriculum-related differences in the number of class preparations, and school-related duties beyond the normal assignment. The list of solutions for making each teacher's work load reasonably equitable is a long one, ranging from the centralization of such clerical work as the recording of attendance data to the use of teacher aides for grading themes and reports and supervising study halls and cafeterias. So variable are the factors affecting the teacher's work within a single school, or from one school to another, that incorporating them into a general load formula presents numerous complexities. The core problem to be dealt with in making work loads reasonably equitable is staff size. If the staff is not sizable enough to carry out the educational program, a work overload cannot be resolved by manipulating a formula. A formula developed cooperatively by the administration and professional staff, however, can be a useful device in studying ways to maintain balance and equity in staff load. Systematic

²² See Anthony Saville, *Instruction Programming: Issues and Innovations in School Scheduling* (Columbus, Ohio: Charles E. Merrill Publishers, 1973).

analyses will help to identify load imbalance and its causes, and to provide a basis for planning solutions to the problem.

This completes the analysis of factors important to manpower planning, enabling us to move to a discussion, in the next chapter, of Steps 2 through 6 (see Figure 4.3) of the manpower-planning process model. The primary focus of Chapter 5 is the transformation of planning assumptions into a future organization structure and the concomitant personnel requirements.

Summary

In this chapter, examination of personnel administration moved from fundamental concepts to manpower planning, the first and perhaps foremost of 11 subprocesses included in the personnel function. Major steps in the manpower-planning process include development of manpower assumptions, preparation of the organization structure, preparation of a manpower inventory, implementation of manpower plans, and control of manpower plans. Planning assumptions are derived from the broad goals established for the school system and are essential to the development of specific manpower forecasts, master plans, policies, programs, and budgets. Once the planning assumptions are agreed upon, the organization structure and the manpower required to operate it are projected. Position guides are then developed for each position in the structure, projected manpower requirements are matched with present personnel, and plans are made for the individual development of staff members to qualify for new or unfilled positions. The ultimate aim of the manpower-planning process is to resolve key personnel decisions, including the types and number of people needed by the organization now and in the future, the standards to be established for the employment of all categories of personnel, and the kinds of plans needed to ensure that the school system attracts the variety of competent personnel needed to fulfill its mission.

Manpower Planning: Structure and Staff Projections

Projecting the Organization Structure and Manpower Requirements (Step 2)

From preparing manpower-planning assumptions we turn now to analyze the second step in the manpower-planning process—projecting the organization structure (Figure 4.3, p. 95). Two major tasks are involved. The first is to forecast the type of structure that will best meet future needs of the school system. This involves forecasting for the planning period under consideration, for the numbers and types of personnel needed at the top, the middle, and the bottom of the organization, and for linking people and positions to purposes. The second task is to create position designs; this involves the preparation of position guides that establish objectives, roles, and relationships of each position in the organization, and the qualities needed by individuals to fill the positions. The intent of the following is to portray the manner in which manpower-planning assumptions can be quantified and used as the planning base to project staff size and composition.

Determination of Manpower Requirements

Let us assume at this point that hypothetical (Clouderoft) school system planners have thoroughly reviewed the goals of the school system for the years ahead; have anticipated the changing social, economic, political, and educational environment in which the school system will operate; and have identified the specific objectives inherent in the goals, the educational experiences needed to accomplish the objectives, the quality and quantity of personnel needed, and the funds and facilities essential to the plans. Let us further assume the planners have examined and developed carefully the manpower-planning assumptions alluded to

in Chapter 4. The school system is now in a position to project the number of positions in the future organization structure. Table 5.1 illustrates one of several methods that can be used to quantify manpower-planning assumptions. Using the set of numerical transactions proposed, staffing assumptions can be employed to develop an idea of the kind of organization structure that needs to be planned over a period of time under a given set of conditions.

The basic idea underlying Table 5.1 is quite simple. Any school district can use it to undertake an analysis of staffing objectives and policies needed for their attainment. Numerous advantages can be derived from the type of personnel forecast illustrated. These include

- Extending the range of planning activities in a school administrative unit beyond a single year.
- Identifying future trends in enrollments on which to base personnel needs.
- Developing an inventory of present personnel components.
- Projecting the present numerical staff adequacy into the staff size ultimately desired in each of the system's structural units.
- Quantifying personnel needs for budgetary purposes.
- Translating manpower-planning assumptions into a future organization structure.
- Linking personnel planning with other systemwide planning efforts.
- Determining the priority order of personnel needs.
- Identifying obstacles to the realization of the total personnel plan, and methods for surmounting them.

In preparing the projections of professional positions it is important to note that effective results depend on both the accuracy of enrollment projections and the proper representation of the desired ratio between pupils and professional personnel. As noted earlier, there is no standard ratio applicable to all districts. Each district, through careful examination of relevant internal and external variables, must determine the ratio that will work most effectively. This involves consideration of the various economic, political, and social concerns that influence such a policy decision. Once established, this ratio is then used to ascertain methodically the professional personnel requirements of the individual system.

It may very well be that some systems facing a period of declining enrollments may not choose to permit the number of pupils per member of the professional staff to decline, but would rather hold the ratio constant through staff attrition. Regardless of which decision is made regarding the desired staffing ratio, care must be taken to ensure that the intended change is gradual, and attainable over the proposed period of time. In assessing the level of the overall professional staffing ratio, attention should also be focused on the existing ratios among teaching

personnel, instructional specialties, and administrative personnel. It may be that in many cases such internal ratios are purely accidental occurrences and that new ratio objectives would more properly serve the educational mission.

The reader should recognize that the approach suggested in Table 5.1 is not offered as the ultimate solution to long-term manpower forecasting. For example, the technique employed to project professional manpower requirements could be broadened to include data on service personnel so as to make the planning more comprehensive. Moreover, the techniques can be refined to quantify manpower-planning requirements for each school attendance unit prior to consolidating the data for system-wide forecasts. Planning tools for this purpose will be illustrated in the forthcoming section on manpower inventory.

Projecting the Organization Structure

Completion of the forecast of the long-term manpower requirements for the school system makes it possible to project the organization structure in detail. The model structure is projected in terms of redefined objectives, including the positions, functions, and reporting relationships best calculated to achieve them. Existing organization functions, functionaries, and methods of operation are ignored in developing the model structure. Several types of planning tools that can be of assistance to school officials in redesigning the organization structure should be mentioned. These include

The Position Guide. The position guide, an example of which is shown in Figure 7.2, can be used to specify the work or expectations of each position in the organization, relationships of the position, and qualifications needed to perform the work allocated to the position. It is also useful in the recruitment, compensation, development, position analysis, and control processes.

The Organization Chart. Although it is perfectly clear that an organization chart, such as the one shown in Figure 12.2, has limitations in portraying the realities of an organization structure, it is an extremely useful planning tool for establishing and appraising formal relationships. It helps to establish the organization's views as to the functions, relationships, and levels of various positions in the administrative hierarchy. It provides a skeletal view of the total organization, its position composition, and a general picture of the relative importance and status of the several

positions comprising the structure. It can be used, too, as a *working hypothesis* to test position guides and position-responsibility charts.

Organization Manual. An organization manual is a document which describes the formal organization structure. It contains charts and statements relating to position authority and responsibility. The advantages of an organization manual are numerous. Most important, however, is that the manual represents a formal commitment by the organization to a structure. In addition, the organization manual helps to identify line and staff responsibilities, to communicate to all members of the organization the nature of the structure, to minimize the overlapping of functions, to enable the organization to allocate responsibilities, and to improve personnel administration.

The planning activity involved in developing the foregoing tools is of considerable importance in that it can be conducive to enhanced role fulfillment by personnel, to better understanding of roles, to wiser use of the structural tools, and to more effective organization.

Preparing the Manpower Inventory (Step 3)

The next step in the manpower-planning process (as portrayed in Figure 4.3), after the manpower requirements and organization structure have been projected, is the preparation of an inventory of current manpower resources. The chief purpose of this activity in the total process is to determine the extent to which existing personnel in the school system can be matched with the manpower requirements anticipated in the projected organization structure. This includes analysis of size, composition, characteristics, and deployment of the existing school staff. The primary purpose of this data-gathering step in the manpower-planning process is to identify the numbers and deployment of the *present* manpower resources in the school system. This information can then be used to assess the present manpower resources relative to the projected positions in the future organization structure (see Table 5.3).

The personnel inventory can be initiated by an audit of the current school system according to physical location, such as the school attendance unit, or central or regional offices. Two types of personnel data are needed in completing the information to determine the status of the present attendance unit staff. These are data relating to *total* staff characteristics and data relating to *individual* members comprising the staff.

Attendance Unit General Staff Data. School attendance units are the major operational units of public school organizations. As decentralized

Table 3.2. Current (Base Year) Deployment of Professional Staff, Cloudercraft School System

Professional Staff and Per cent of Total Deployment	School or Unit									
	Elementary Schools					Secondary Schools				
	A	B	C	D	E	F	G	H	I	Totals
a. Teaching Personnel % of Total	32	35	16	34	38.5	40	55.5	60	109	120
b. Instructional Specialists % of Total	3	3	2	2.8	2.5	5	11.2	12.1	22	84.5
c. Administrative Personnel % of Total	0.6	0.6	0.4	0.6	0.5	1.0	7	8	16.7	55
d. Total Professional Staff % of Total	5.3	2	1	2.2	2	2	1.5	2	3.2	11.1
	1.1	0.4	0.2	0.1	0.4	0.4	0.3	0.4	0.4	22
	10	37	40	39	43	47	61	70	128	497
	2.1	7.4	8.0	7.8	8.7	9.5	12.9	11.1	25.8	100
Pupil Enrollment	906	1039	182	961	1088	1123	1520	1674	2944	11710

Note: Addition of per cent subdivisions may not equal totals because of rounding errors.

units within the school system, they are administered by the principal and his staff. The principalship is the level at which most of the operating decisions will be made and primary organizational plans for instruction activated. It should be noted here that a significant trend in school organization is to give each school attendance unit more autonomy and to make it self-contained. This represents an effort to make each attendance unit large enough to provide an enriched educational program and a staff of adequate size and sufficient quality to render those services required by the program without heavy dependence on the instructional personnel attached to the central office. The point should be made here that the personnel audit of the school attendance unit should be linked to systemwide planning. Some attendance units, for example, may not have the physical facilities to house the instructional programs envisioned in the systemwide plan. The long-term educational plan should make it possible to establish attendance units of optimum size, to eliminate very small units, and to modify those which may be larger than desirable for optimum teaching-learning conditions. In short, the school attendance personnel audit should make it possible not only to determine the size, composition, and deployment of the existing staff, but to provide information as to the destiny of each attendance unit in the proposed organization structure. Basic to such decisions is information similar to that illustrated in Table 5.2 on the overall personnel characteristics for each of the attendance units in the Cloudercroft school system. These data make it possible to assess more readily staff ratios, deployment, and composition in each attendance unit, as well as in the total system. The information from this analysis, used in conjunction with plans for organizing instruction in each unit and ultimate pupil enrollment planned for each unit, will improve the validity of forecasts relating to unit manpower requirements. Table 5.2, it should be noted, is applicable to a long-term forecast of personnel needs by attendance units when appropriate data are inserted.

Data on Individual Staff Members. Collection and analysis of information on individual staff members (an extended discussion of which is contained in Chapter 16) is an essential element of the manpower inventory. Data are needed which pertain to age distribution, sex, unit affiliation, minority-group membership, educational levels, and skills. To provide this information, data on each individual staff member are essential to assess the potential of the existing staff in order to meet projected needs. Both assets and liabilities should be revealed by the analysis in terms of such characteristics as abilities, experience, skills, present and potential assignment, preparation, and promotability.

Figures 5.1, 5.2, and 5.3 have been included to illustrate forms designed to facilitate data-gathering in connection with the inventory phase (step 3) of the manpower-planning process. The data to be derived from the

use of the aforementioned figures highlight those factors essential to controlling the development of the manpower plan. The forms are most useful in linking present manpower to existing positions, to promotions, or to new positions in the future organization structure. It goes without saying that this phase of personnel administration is closely integrated with other personnel processes such as recruitment, appraisal, and development.

Forecasting Changes in Manpower Resources and Demands (Step 4)

This step in the manpower planning process, as illustrated in Chapter 4, Figure 4.3, involves analyses and forecasts of the changes likely to occur over the planning period relative to manpower resources and demands. First, permanent and temporary personnel losses must be anticipated. These include retirements, resignations, deaths, disabilities, dismissals, and leaves of absence. Second, personnel intrasystem movements such as transfers and promotions must be considered. Finally, these separations and intrasystem personnel movements must be related to the positions required for the school district's future organization structure.

Prediction of the number of personnel losses and movements is combined with the forecast of professional personnel needs in Table 5.3. In analyzing the data contained in the table it is important to

- Remember that the percentages used are merely hypothetical, and that the most accurate percentages will be those calculated by the individual school district on the basis of past experience.
- Realize that each district must analyze its internal manpower resources and identify those individuals to be promoted or transferred before final manpower needs are considered.
- Specify the types of positions required in order that personnel are placed so as to meet requirements of the organization structure.

As plans to implement the long-range plan are initiated, it is possible to predict from information in Table 5.3 the number of positions to be filled annually. With such information, position guides may be carefully revised and suitable personnel more professionally recruited.

Manpower Programming (Step 5)

The fifth step in the manpower planning process (Figure 4.3) is referred to as *programming*. More specifically, manpower programming encompasses an interrelated system of activities designed to satisfy unit

Table 5.1. Illustration of Change Forecast in Internal Professional Manpower Resources and Total Professional Manpower to Be Replaced and Recruited—Cloudercroft School System (Base data for this table shown in companion Table 5.1)

	Base Year	Base Year + 1	Base Year + 2	Base Year + 3	Base Year + 4	Base Year + 5
1. Present and Future Positions (from Table 5.1, Item 3)						
a. Teaching personnel	(420)	(415)	(477)	(505)	(534)	(561)
b. Instructional specialists	(55)	(59)	(61)	(69)	(75)	(80)
c. Administrative personnel	(23)	(26)	(28)	(30)	(32)	(32)
d. Total professional personnel (a + b + c)	(497)	(530)	(566)	(604)	(641)	(676)
2. Intrasytem Personnel Movements*						
a. Teaching personnel	11	11	12	12	13	13
b. Instructional specialists	1	1	1	2	2	2
c. Administrative personnel	0	1	0	1	1	1
d. Total professional personnel movements (a + b + c)	12	13	13	15	16	16
3. Separations**						
a. Teaching personnel	71	75	80	85	90	95
b. Instructional specialists	9	10	10	12	13	14
c. Administrative personnel	4	4	5	6	5	5
d. Total professional personnel separations (a + b + c)	84	89	95	102	108	114
4. Personnel to be replaced and recruited because of movements and separations (line 2d + line 3d)	96	102	108	117	124	130
5. Personnel to be recruited because of new positions (Table 5.1, line 4d)	96	135	144	155	161	165
6. Total personnel to be replaced and recruited (lines 4 + 5)	12	13	13	15	16	16
7. Minus replacement requirements credited to internal personnel mobility (line 5d)	84	122	131	140	145	149
8. Equals personnel to be recruited from external sources (line 6 minus line 7)						

Numbers in parentheses are projected positions from Table 5.1.

* Intrasytem personnel movements for the purpose of the Cloudercroft example are based on the following percentages: lateral moves (transfers) 1.8% and upward moves (promotions) 0.0%, totaling 2.4% per annum of present and future positions. (Item 1)

** Separations for the purpose of the Cloudercroft illustration are based on the following percentages: retirements 3%, deaths 0%, dismissals 0.2%, resignations 8.4%, and leaves 5.3%, totaling 17% per annum of present and future positions. (Item 1)

and system manpower objectives. As such, manpower programming is indispensable in translating the manpower-needs forecast, developed from data in Tables 5.1, 5.2, and 5.3, into a *feasible, time-phased undertaking*.

Figure 5.4 has been included to round out our understanding of the aspect of time in manpower programming. Following are several points with reference to Figure 5.4 and its relationship to the manpower requirements for the Cloudercroft school system as illustrated in Table 5.3.

- In order to satisfy *manpower requirements of the school system*, specific programs will need to be developed to recruit personnel from external sources, and other means employed to generate human resources from within the system. Possible procedures include transfers, promotions, staff development, and improved utilization of existing manpower.
- The programming of manpower-planning activities, especially those shown in Figure 5.4, is subject to the influence of time. In the design portrayed in Figure 5.4, for example, there is short-run emphasis on recruitment and placement from external sources; short-run emphasis upon internal transfer, promotion, and compensation of personnel. Manpower inventory, appraisal, development, and utilization are activities within the system which are relatively certain to be the focus of continuing emphasis throughout the planning period. It must be realized that, although all planning activities must to some extent be continuous, what is portrayed is that differences in emphasis on specific manpower activities are appropriate at different stages in the implementation of the long-range plan.

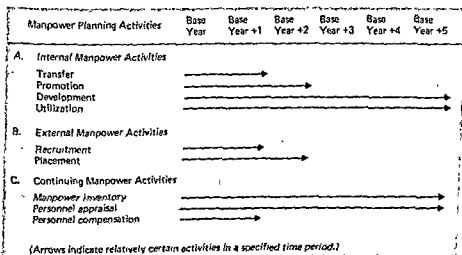


Figure 5.4. Manpower planning activities and time emphasis.

- The longer the planning period, the greater the degree of uncertainty governing decisions affecting specific programming activities. The probability of specifying precisely who the position-holders will be in the new positions four years hence (at base year plus 4), for example, is not high.
- Manpower planning assumes that unknown factors will so affect forecasts that some uncertainty in programming must be taken for granted. Long-range plans are vulnerable to many variables, including decline in population enrollments, changing educational technology, changes in economic conditions, in policy, and in leadership. Consequently, differences between forecasts and actual events must be anticipated.
- Manpower forecasts cannot predict precisely *which* positions will be vacated nor *when* they will be vacated owing to promotion, death, retirement, disability, resignation, or dismissal.

When the long-term manpower forecast is analyzed it will yield information on the categories of personnel required in each of the organization units. This means that the forecast should provide estimates of the number and kinds of teachers, specialists, administrators, paraprofessional personnel, and service employees in each of the attendance units and in the central administration.

This information, coupled with the position guides and the talent inventory, makes it possible to proceed with the task of matching positions and individuals. Because the complete long-range plan cannot be put into operation immediately, initiation of a short-range manpower plan involves matching, where possible, current personnel with current positions. This phase of plan implementation entails numerous difficulties. The following are atypical problems:

- What should be done about incumbents who do not meet the qualifications established for their positions?
- To what extent should the position be modified so that the incumbent can perform satisfactorily?
- If temporary placements are made for personnel who do not fully meet established staffing standards, what should be done to prevent their assignments from becoming permanent?
- To what extent will development programs be needed to permit unqualified incumbents to qualify for positions?
- To what extent will the projected organization structure have to be modified before the system can acquire and develop necessary manpower and skills?

As the short-term plan for matching people and positions is implemented, the shortages of personnel with specified abilities should be re-

vealed by vacancies in new positions created in the projected organization structure, and by positions vacant for other reasons.

The real significance of continuing analysis of disparities between the manpower forecast and the manpower inventory is that it enables planners to foresee the number of personnel needed and the qualifications they should possess in terms of the established position guides.

In contrast to the short-term plan, the long-term manpower plan concentrates upon systematic plans for meeting on schedule the number and skills deficiencies in the school system. Heavy emphasis is placed upon the long-term development of people to fill the positions projected in the organization structure. This involves upgrading the present staff as much as possible, transferring staff within and between attendance units, where desirable, and recruiting personnel from external sources.

Experience has shown repeatedly that a long-term plan of any kind will never become a reality unless subsidiary plans are formulated and implemented. So it is with manpower planning. A design, such as the one outlined in Figure 5.4, will be needed to determine which phases of the manpower plan will be put into effect during each of the years for which it is devised. If staff development programs are essential to the design, or if recruitment from external sources is required, plans must be made. Continuous updating of position guides, organization charts, organization manuals, and manpower inventories requires derivative plans. In short, development and maintenance of numerous supporting plans are essential to realizing the master plan.¹

One type of supporting plan just referred to is shown in Table 5.4, wherein manpower is programmed, in accordance with current deployment patterns, by organizational units and position categories for the first two years of the long-range manpower plan. These data are designed to relate organizational manpower requirements by units and positions to systemwide manpower needs such as those derived in Table 5.3. They are used also in developing plans for the various operating units to identify patterns of internal personnel movement; to accumulate knowledge of people and positions that can contribute to personnel development; to program experiences for individuals who are selected to occupy specific positions; and to formulate the near-future recruitment needs.

In utilizing the data presented in Table 5.4, the individual district needs to be careful to determine that the percentages expressed between the personnel categories and organizational units are conducive to establishing or maintaining the desired staffing ratios. Where they do not continue to fit the long-range needs of the school district, the ratios should be

¹ For a more extended discussion of manpower programming, see Elmer H. Burack, *Strategies for Manpower Planning and Programming* (Morristown, N.J.: General Learning Corporation, 1972), Part Four.

Table 5.4. *Estimated Distribution of Professional Recruiting Needs by Organizational Units and Position Categories (Projected for Base Years + 1 and + 2)*

(Projected for Base Years + 1 and + 2)

a Professional Staff Category	b School or Unit	c Per Cent of Desired Deployment by Unit*	d Total Personnel to be Replaced and Recruited (Line A, Col. d × Col. c)	
			Base Year + 1	Base Year + 2
A. Total personnel to be replaced and recruited (From Table 5.3)				
		100%	135	144
	Total	84.5	114	122
	Central Administration	—	—	—
	School A	6.4	9	9
	School B	7.0	9	10
B. Teaching Personnel	School C	3.2	4	5
	School D	6.8	9	10
	School E	7.7	10	11
	School F	8.0	11	12
	School G	11.2	15	16
	School H	12.1	16	17
	School I	22.0	30	32
		Total	11.1	15
	Central Administration	1.0	1	1
	School A	0.6	1	1
	School B	0.6	1	1
C. Instructional Specialists	School C	0.4	1	1
	School D	0.6	1	1
	School E	0.5	1	1
	School F	1.0	1	1
	School G	1.4	2	2
	School H	1.6	2	2
	School I	3.2	4	5
		Total	4.4	6
	Central Administration	1.0	1	1
	School A	0.4	—5	—5
	School B	0.4		
D. Administrative Personnel	School C	0.2		
	School D	0.4		
	School E	0.4		
	School F	0.4		
	School G	0.3		
	School H	0.4		
	School I	0.4		

* Based for the purpose of the Cloudercraft example on the original base-year deployment (Table 5.2).

adjusted in accordance with previously determined educational policies. Accurately expressed, the desired ratios will provide the long-range plan with a base from which to forecast the personnel to be recruited for each organizational unit.

Controlling Manpower Plans (Step 6)

The final step in the manpower-planning process (Figure 4.3) is to determine the appropriateness of plans to meet projected conditions and the extent to which performance conforms to plans. Inherent in the control function are three closely related steps which form the basis for the following discussion on the control of manpower plans. These are

- Reviewing plans—including goals, policies, objectives, programs, and standards.
- Checking results against desired performance.
- Adjusting to correct deviations from plans.

In the cyclic activity of the administrative process, plans are developed and put into operation. The control function is concerned with the effects of plans and procedures in relation to the attainment of organizational purpose.

Each major component of the educational operation—plans, programs, personnel, facilities—is a means for attainment of purpose. Each has an objective subordinate to realization of the school's purposes but that contributes to that realization. Hence, each component of the administrative process should be appraised continually in terms of its operational effectiveness and its contribution to the larger aims of the enterprise. Ideally, every plan that the school system puts into operation should have built-in means for judging its effectiveness. Viewed in this manner, appraisal is an omnipresent function of school administration, an aspect of the administrative process designed to keep means and ends in balance. It is concerned with how extensively and how well each operational activity contributes to organizational purposes. It is a useful tool, too, in analyzing the problems of and planning solutions for both individual and total operations.

Although it is beyond the scope of this text to pursue in any detail the specific controls needed in various operational activities, the role of administration in developing a scheme for judging the performance of the manpower plan can be delineated. The object of the text following is to illustrate the meaning of control as it applies to the personnel function.

Checking and Adjusting Manpower Plans

One of the facts of organizational life is that a determination must be made constantly as to the validity, value, and suitability of plans that have been put into effect to achieve established goals. The school system needs to know:

- How feasible are the planning assumptions upon which the manpower program is based?
- Is the newly implemented organization structure conducive to greater system effectiveness?
- Are positions being filled according to position guides?
- What steps have been taken to implement systemwide development programs for personnel?
- What adjustments are needed to update the plan?
- Are the numbers and quality of system personnel satisfactory?
- Are personnel deployed and utilized effectively?

Good control techniques provide the organization with information about gaps between plans and performances and about the causes of the disparities. Numerous variables affect the best manpower plans. Forecasts may be inaccurate, unforeseen events may occur, human problems engendered by structural changes may be greater than anticipated, changing concepts may lead to modification of the projected organization structure, changes may occur in perceptions of individual staff members concerning their roles, attrition rates may be lower or higher than anticipated, and rate of structural change may be unsatisfactory. This is to say that the control concept involves the assumption that things may go wrong, that plans may not have the intended effect. Remedial action is, of course, essential to keeping the manpower plan on course. Information derived through appraisal of the plan should contribute to the system's ability to find the causes for deviations from the plans, as well as reasons for any difficulties encountered in implementing the plans.

The value of getting information about faults of the plan, deviations from expectancy, and reasons for performance that does not conform to expectancy, is that it enables the system to initiate corrections immediately. Plans or performance hardly ever fail or succeed instantly in school systems. A good control system helps to head off trouble before it becomes serious and to modify plans so that ultimately they will become effective.

Although it is apparent that in a soundly conceived manpower plan the personnel inventory will have to be updated continuously, it is also clear that authorization of the projected structural plan calls for changes in records relating to assignments, and additions and deletions of posi-

tions, with attendant changes in status of personnel. This leads to the suggestion that the tasks of maintaining the personnel inventory and preparing and maintaining the organization manual, including up-to-date revisions of position guides and organization charts, should be delegated to the personnel or planning unit in the central administration.

Finally, it should be noted that manpower planning is a cyclical operation which probably will never attain perfection. Periodic revisions of plans and the assumptions on which they are based will always be necessary. Nevertheless, if the manpower-planning process is carefully structured, implemented, and controlled, the chances are good that the school system will have sufficient personnel available to meet its manpower requirements, and that it will not have to endure constant organizational crises created by the lack of qualified people to perform the variety of tasks essential to its purposes.

Summary

The purpose of this chapter has been to acquaint the reader with the steps in the manpower-planning process that are employed after planning assumptions have been established. These steps include projecting the organization structure, preparing the manpower inventory, forecasting changes in manpower resources and demands, programming manpower needs, and controlling manpower plans.

The major implications of implementing manpower plans are threefold. First, the manpower planning process must be carefully integrated with other personnel processes, especially recruitment, appraisal, and development. The second, is that continuing analysis is needed to detect disparities between the manpower forecast and the manpower inventory in order to enable planners to foresee the number of personnel needed and the qualifications they should possess in terms of the established position guides. The third implication is that manpower plans and planning are never terminal; they are constantly in a state of revision, and are subject to change as new forces, insights, and conditions affect the system and its people.

Recruitment of Personnel

The term *recruitment* as used here refers to those activities in personnel administration designed to attract the numbers and quality of manpower needed to carry on the work of the school system. As such, the recruitment facet of the personnel function has both short- and long-range implications. The short-range plan involves those activities carried on to meet current demands for personnel, such as that which continually exists in every organization when positions are vacated and cannot be filled from internal manpower sources. The long-term plan includes those activities designed to assure a continuous supply of qualified professional and service personnel. The theme of this chapter is that an extensive and aggressive program of recruitment, directed toward placing and keeping a qualified and satisfied individual in every position in the school system, is critical to organizational effectiveness. With this in mind, we will discuss first the integration of manpower planning with recruitment processes, especially the manner in which the system goes about developing specific recruitment plans to close the gap between the positions to be filled in the *future organization structure* and the *projected* profile of the *existing* personnel force. Then we will turn to a discussion of the coordination of public employment policy, union policy, system policy, and recruitment. The intent is to stress the point that modern recruitment does not take place in a social or organizational vacuum. Discussion of policy integration leads to a description of the recruitment process itself. It is through the activities that comprise this process that the system actually goes about the business of attracting external candidates from various sources to fill anticipated position vacancies. Each of these activities or subprocesses is examined as an interdependent element along with others in the planning system. Emphasis is given to the proposition that effective direction of the recruitment function will minimize problems that ensue in the *selection* of personnel; in *placement*, so that they can perform effectively; and in their *career development* as they are assimilated, eventually, into the system. The recruitment process in a school system, then, is viewed as a unified staffing effort involving an *internal* dimension (moving qualified individuals up from within), an *external* dimension

(moving outside manpower sources into the system), and an *integrative* dimension ensuring that recruitment activities function harmoniously so as to reinforce each other.

Integration of Manpower Planning and Recruitment

The reader will recall that the manpower planning model depicted in Figure 4.1 indicates that the gap between the manpower forecast (the personnel required at specified times in the future) and the manpower inventory (the projected profile of the present work force) is closed by specific action plans (transfer, development, recruitment). Figure 6.1 illustrates graphically how the manpower planning process leads into and is extended by the recruitment process. By way of illustration, the data in Table 5.3 indicate that during the period covered by the manpower forecast, there will be new positions to be filled in every personnel category of the Cloudcroft school system. If the model shown in Figure 6.1 were employed (in this hypothetical system) to deal with the long-term manpower problems indicated in the quantitative data in Table 5.3, the position vacancies occurring annually in each of the various personnel categories would be filled by a combination of the methods indicated in the model—transferring existing personnel, promotion, development of personnel (which includes formal training, planned work experience, performance appraisal, counseling and coaching), and recruitment of personnel.

To place recruitment in its proper perspective, the total personnel

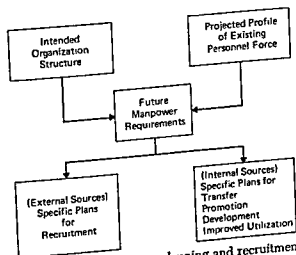


Figure 6.1. Integration of manpower planning and recruitment.

function, as conceptualized in Figure 2.1, may be thought of as consisting of three concomitant phases: determination of need, satisfaction of need, and maintenance and improvement of service. An important advantage of viewing personnel administration in this way is that it helps to convey the totality of the personnel function and to reveal its salient processes and subprocesses.

In this context, *recruitment* becomes an important phase in the satisfaction of personnel need. It is important to repeat, however, that recruitment should not be considered as the first step in the personnel function. Rather, it is one of several subprocesses undertaken to implement personnel policies and previously established plans. How, for example, can the chief executive and his staff develop a systematic approach to recruitment if the board of education has not clarified its intentions with respect to the number and quality of personnel to be employed? How can those responsible for recruitment answer questions of a prospective applicant if decisions concerning the compensation structure are not made? As a matter of fact, the recruitment program stands or falls as a consequence of policies previously initiated for all aspects of personnel planning.

These are among the premises upon which an effective recruitment plan rests.

- Activities in the recruitment process are guided by and coordinated with previously established manpower, personnel development, and selection plans. The manpower plan establishes the number of positions to be filled throughout the planning period; the development plan indicates the potential of current manpower to fill certain vacancies in the system; the selection process eliminates those who do not meet position and organizational requirements.
- The recruitment process is conceived as an essential but not an isolated aspect of the total personnel function.
- The recruitment process is viewed as a carefully planned, organized, directed, and controlled operation.
- Staff participation is encouraged in formulating and implementing recruitment plans.
- The board of education is the prime mover in the local recruitment process. This implies a complex of positive attitudes and actions on the part of this body, leading to the development of employment conditions calculated to attract and retain qualified personnel.
- The board of education delegates responsibility for implementation of recruitment policy to its executive officer.
- Specific duties of the board's executive officer in the recruitment process include determination of immediate and long-term quantitative and qualitative personnel needs; establishment of qualification

standards for all personnel; preparation of current and long-term budgetary plans which embrace provisions calculated to satisfy personnel needs; development of a systematic plan to locate and attract qualified persons for service in the system; and appraisal of the effectiveness of recruitment plans.

- Nomination of all persons to positions of employment in the system is a responsibility of the chief executive officer; the board makes all appointments.
- The search for qualified personnel is broad-based, and not restricted to specific institutions or geographical areas.
- The number of personnel applying for each position in the system is maximized.

If the school system is to achieve the ideal state of recruitment conditions just stated, it must first give consideration to *employment policy*, which is constantly developed, adhered to, and modified by the system to cope with continuing social and organizational change. This preliminary (though vital) topic will be discussed before turning to a description of the recruitment process.

Public Employment Policy and Recruitment

It has been said that an individual entering the educational marketplace does so under a canopy of governmental protection.¹ This observation is borne out by the information contained in Table 6.1, which outlines the relationships between public employment policy and the personnel function in a school system. Analysis of the information shown in Table 6.1 indicates that governmental protection of the individual employee is extensive. Although not all of the federal and state legislation noted in Table 6.1 directly affects the public-school employee, the indirect influence of federal and state employment policy is considerable. Public personnel policy reflects, by and large, the protection deemed necessary for individuals associated with public and private organizations. In effect, resolution of the problems of employment in a school system involves not only adherence to existing federal, state, and local employment policies; such policies call for new strategies, attitudes, and techniques in the development and application of processes that comprise the personnel function. This observation on public employment policy is especially pertinent to the recruitment process. Federal and

¹ Legal aspects of personnel administration are discussed in detail in Russell L. Greenman and Eric J. Schmertz, *Personnel Administration and the Law* (Washington, D.C.: Bureau of National Affairs, Inc., 1972).

procedures, attitudes, and behavior which is generally accepted in the culture and in the world of work. With this as our premise, let us examine next the nature of school system employment policies and procedures.

System Recruitment Policy

Personnel policy, as noted in Chapter 3, is a statement of the system's intent with regard to the treatment of the people in its employ. Figure 6.2 illustrates an employment policy and procedures for its implementa-

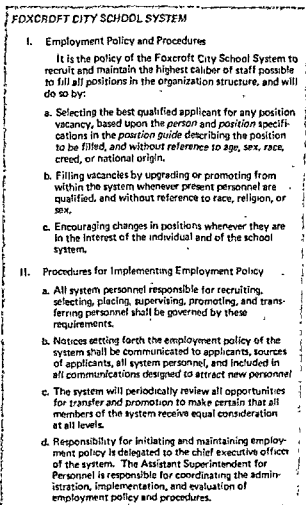


Figure 6.2. Illustration of employment policy and procedures.

tion. Analysis of the content of Figure 6.2 indicates that the policy contains at least three components: (1) system intent; (2) procedures for implementing policy; and (3) authority to implement policy. The reasons for establishing and maintaining policy on personnel matters are not difficult to discern. First, there are numerous and continuing personnel decisions made in a school system by a variety of administrators. Without policy guidelines for decisions and actions on personnel matters, the inconsistencies that develop would generate dissatisfaction and defeat the aims of the personnel function. Moreover, consistent action is impossible unless personnel decisions are made within a policy context. Finally, policy guidelines provide for continuity of the personnel process despite the mobility of administrators and school board members. In short, policy is essential to system stability, growth, and survival.

Table 6.2 illustrates the relationship between recruitment policies and procedures in the Foxcroft school system. The example brings into focus the nature of recruitment policies, the need for procedures to implement them, and the variety of factors that must be taken into account in their development. It should be apparent that the numerous recruitment-related decisions suggested in Table 6.2 must flow from policy, so that consistency and common purposes are enhanced. It is also manifest from examination of the policies enumerated in Table 6.2 that recruitment policy is influenced by a host of internal and external factors, including the public employment policy referred to previously, union

Table 6.2. Outline of Policies and Procedures of the Foxcroft School System Related to the Recruitment Process

<i>Policies</i>	<i>Procedures</i>
Nondiscrimination (race, creed, religion, national background, age, sex, physical handicaps, previous arrests, military service and/or draft status).	_____
Special personnel (relatives of board members or staff, veterans, minors, part-time and temporary personnel, working wives and mothers, strikers, rehires).	_____
Position guides (preparation and adherence to man and position requirements in position guides).	_____
Probationary employment (professional and classified personnel).	_____
Proselyting and/or pirating (recruitment from other systems).	_____
Outside employment (employment in a second position or job).	_____
Personnel residency (reside within district).	_____
Gifts and favors (related to recruitment of personnel).	_____
Recruitment budget (candidate travel, agency fees, staff travel, printing, advertising, relocation, travel).	_____
Candidate information (reference checks: credit, security, character, prior work performance, academic records; interview, application blanks, résumé review and acknowledgment).	_____
Testing (preemployment physical, mental, etc.).	_____
Temporary employment (substitute service).	_____

policy, community mores, board and administrative values, general cultural values, and the economic condition of the school system.

Analysis of the environmental factors that influence policy becomes a major activity of the personnel function in developing general employment as well as recruitment policy. It is also worth repeating at this point that each of the policies (Table 6.2) adopted by a board of education is usually accompanied by a set of procedures which give explicit directions for policy implementation. All three parts of a policy (intent, procedure, and responsibility) interact with and are interdependent upon each other. Consequently, a key activity of the personnel function is to maintain an audit of personnel policies and procedures to ensure that they are not only adhered to throughout the system but that they are integrated with systemwide goals and objectives.

The Recruitment Process

Figure 6.3 summarizes the key activities involved in the recruitment process, each of which will be analyzed in subsequent sections of this chapter. The composite that emerges from the theoretical flow of recruitment activities (as shown in Figure 6.3) is that the recruitment process is a systematic method of developing a pool of qualified persons willing to work in the school system. The process of recruiting involves the definition of anticipated results, development of practices and procedures to achieve expectations, and the appraisal of progress in the recruitment effort.

Before proceeding with a detailed analysis of the recruitment process, it should be pointed out that Figure 6.3 is an *idealized* representation of the steps involved. Its primary purpose is to demonstrate that the recruitment function can and should be planned; that decisions need to be made about recruitment goals—who is to do the recruiting and how it is to be done. Another purpose of the figure is to demonstrate linkage of the recruitment process with other processes and subprocesses in the personnel function.

There are also personnel development tasks to be performed that are

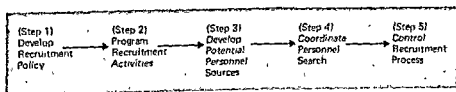


Figure 6.3. Model of the recruitment process.

zational aimlessness. The point of concern here is that policies can be translated into action in an orderly way only if organizational planning for recruitment precedes individual planning by those responsible for recruitment operations. Individual administrators or recruiters within the organization simply cannot decide for themselves the answers to the numerous decision problems they will encounter during recruitment. If the school system does not decide in advance what courses of action will be pursued throughout all phases of recruitment, it is doubtful that any individual member involved in recruiting can act consistently or provide ready answers to questions posed by applicants.

It goes without saying that if personnel policies are to be meaningful, they should be written. Clear-cut written statements on recruitment, for example, will indicate to applicants the intent and attitudes of the system with regard to employment. Written policies also make it possible to inform every individual and agency concerned with the recruitment process of system standards, to give the administrative staff guidelines to work with in making recruitment decisions, to provide a means of standardizing certain recruitment procedures, and to minimize uncertainties in the recruitment process for those responsible for its implementation.

The nature of recruitment policies will certainly have a profound effect on planning. For example, if greater stress is to be placed upon recruiting only personnel who can meet high standards, increases in budgets may have to be projected, different recruitment techniques may be needed, and the sources for locating such personnel may be quite different from those used if qualifications for personnel are lowered. Because unit plans and individual plans stem from those of the organization, recruitment plans and individual plans stem from those of the organization, recruitment plans and procedures adopted by a school organization have system-wide ramifications. It is primarily for this reason that recruitment is not exclusively a personnel function. Although the major responsibility for the informational and operational aspects of recruitment is usually assigned to the individual in the central administration charged with performance of the personnel function, other administrators in the organization, both line and staff, frequently have important roles to play in the recruitment planning process.

As noted elsewhere, the school system's manpower plan is developed on the basis of information gathered from a variety of sources, including administrators of individual attendance units, as well as central office personnel responsible for the logistics, instructional personnel, and planning functions. Manpower forecasts will reveal needs that require co-operation among various segments of the school system. Need for administrative personnel, for example, may be anticipated at least five years in advance of position vacancies. To provide the lead time for induction

of competent personnel into these positions, and to ensure their development, coordinated planning is required.

The recruitment function should be considered a centralized operation, usually under the general direction of an assistant superintendent for personnel or an equivalent administrator. During the past few years, the concept of *centralized recruitment and screening and decentralized selection* has gained acceptance as a procedure for giving unit administration a voice in the selection of the personnel for whose direction they will be responsible. This is to say that the basic task of recommending recruitment policies and plans to the board of education belongs primarily to the central administration, which includes the chief executive and his staff. The execution of recruitment plans and policies is delegated to the individual in the central administration in charge of the personnel function. This individual sets in motion the recruitment operation, a feature of which is that the central office is responsible for much of the detailed work connected with locating and initial screening of all candidates. Candidates who meet initial screening tests are referred to the administrator to whom the position-holder reports. *The final decision to reject or accept a given applicant, then, is decentralized.* The discussion of who does what in the recruitment process takes us directly to the concept of programming for recruitment, the subject of the following section.

Programming Recruitment Activities (Step 2)

It is generally acknowledged that when a school system attempts to provide qualified personnel in all positions, various administrators from different levels of the system are involved. After manpower plans have been prepared and the essential policies developed to carry them out, considerable thought must be given to the task of organizing recruitment activities. Once the work of recruitment goes beyond what a single person assigned to the task can do, organization becomes necessary. The recruitment tasks must be identified, assigned to different people at various levels of the organization, and coordinated. This section will be devoted to an analysis of the responsibilities of key positions in the recruitment process. By examining the organization of the recruitment function in the school system, the totality of the process can be brought into focus.

THE BOARD OF EDUCATION

In matters pertaining to recruitment, as well as in other educational matters, functions of the board of education are those involving policy

development and the evaluation of results. The hypothesis advanced here is that although recruitment will go on in some fashion in every school system, it will go on better, and with more lasting results, if the board of education's viewpoint is positive and forward-looking. This is not mentioned to repeat the well-known principle that policy making is the board's function. The broader implication is that unless the board takes the initiative to establish conditions and a climate favorable to administrative action on a sound recruitment program, the chances are good that the best of intentions and plans will be abandoned subsequently.

The board and its chief executive are confronted with questions such as, "What types of personnel do we need to accomplish the aims of the system?" "What special abilities should they possess?" "What conditions of employment are necessary to attract personnel with these special abilities?" "Where can candidates with these abilities be located?" These concerns, it will be noted, must be translated by the board into policies governing the recruitment program. It is important that these issues be resolved well in advance of the time the chief executive begins to formulate specific plans putting policies into operation.

Because of the magnitude and complexity of the foregoing problems, extensive analysis is needed before recruitment policies can be stipulated. Size and quality of the existing staff, staff load and deployment, need for additional personnel, and the budget implications of staff improvement are illustrative of conditions that require assessment when formulating goals and in determining the means by which they can be realized.

By clarifying its intent toward the recruitment program, by delegating in full its administration to the chief executive, and holding him accountable for results, and by providing means to attain ends, the board of education will have taken major steps to define and to give direction to recruitment plans and procedures, as well as minimizing the uncertainty of its intent. The board of education, by virtue of the powers vested in it, is the key agent of the system for interpreting and implementing the social values of American democratic society through recruitment policy. The preeminent place which working people are accorded in the United States can be ensured in their place of work only if employers make this condition possible through their personnel policies. This is why the role of the board of education in recruitment policy is of such critical importance.

THE CHIEF EXECUTIVE

When we turn our attention to problems involved in recruiting school personnel, we are led quickly to an appreciation of their importance. It is not difficult to realize that the investment made in every school em-

ployee is considerable; that the success of the local school system depends upon a continuous flow of qualified personnel; that future educational leadership is related to present recruitment policies; that the potential for waste of every kind is enormous if recruitment programs are ineffective; and that solutions to *today's* recruitment problems are not unchangingly valid.

It is for these and other reasons that the leadership role of the chief executive in the recruitment program is crucial. The following are representative of his many obligations in recruitment planning. He:

- Provides the board with relevant data, counsel, and recommendations for shaping recruitment policies.
- Initiates studies of immediate and long-term personnel needs.
- Formulates, with the help of the staff and with board approval, qualification standards for professional and noninstructional personnel.
- Focuses plans, staff, and funds on the task of locating candidates capable of meeting qualification standards.
- Explores, continually, various avenues for bringing the system's personnel needs to the attention of potential candidates.
- Recognizes the importance of sound budgetary procedures through which the objectives of the personnel function are realized.
- Makes plans to meet the continuing need for properly qualified professional personnel.
- Cooperates with teacher education institutions in helping them to prepare personnel with the abilities the system seeks.
- Studies developments in the manpower field and their impact upon recruitment.
- Plans employment conditions conducive to effective recruitment.
- Employs a variety of communications media to develop an understanding of recruitment program objectives.
- Initiates an information system to provide feedback on staffing needs.

How the superintendent of schools carries out his responsibility for staffing the administrative unit for effective recruitment depends to a large extent upon the administrative organization. If the system is small, this responsibility is generally administered personally by the chief executive; if it is large, it is probable that responsibility will be delegated to an agent or division in the central administrative office. Regardless of system size, a new concept of the role of the chief executive in fulfilling personnel requirements of the school system is emerging. Briefly stated, this notion views personnel administration as a strategic task. It embraces the idea that if schools of modest size and means can afford an assistant to the superintendent for logistics and another for instruction, they should also provide assistance to carry out the personnel function. The argument

has force when one considers the importance of personnel to the operation of the enterprise.

THE PERSONNEL ADMINISTRATOR

We shall assume, for the sake of illustration, that the chief executive has assigned the personnel function, including central responsibility for recruitment, to an assistant superintendent of schools. This staff member is then responsible for developing an organization structure within his own unit in keeping with the overall system plan of organization.²

Central responsibility for overall direction of the recruitment process suggests that numerous activities need to be carefully coordinated.

Table 6.3 illustrates the nature and scope of such activities in a school system. Responsibility for the several tasks involved in the recruitment process will depend in part upon the nature of the organization structure. Regardless of how and to whom the work is allocated, we can identify several features that characterize the organization of almost all successful recruitment efforts:

- Recruitment plans for all personnel are developed and coordinated by the central administration. This phase of the process involves adherence to the manpower plan—deciding what positions are vacant and what standards are to be employed in selecting personnel to fill them. Principals, directors, and other key administrators affected by the recruitment decisions participate in the planning.
- Central recruitment planning clarifies and formalizes the types of communications that will be initiated between the system and applicants. Standardized forms for getting information from and transmitting information to applicants are developed by the central administration. These include position guides, application blanks, medical forms, questionnaires, brochures, fact sheets, manuals, and related literature.
- The recruitment record system is designed to facilitate and to control the candidate flow. This is to say that this system is completely developed prior to contacting candidates about position openings. Decisions will have been made as to the location at which incoming applications are received, recorded, and acknowledged. In addition, some arrangement is necessary to keep track of each applicant from the period of initial contact until a decision on the application is reached and records to close the case are completed.

² See Figure 2.3 for an illustration of the manner in which the personnel function is organized in the central administration.

Table 6.3. *The Nature and Scope of Recruitment Activities in the Cloudercroft School System*

Central planning for recruitment of both professional and service personnel.
Coordination of information and decisions on number and types of personnel to be recruited.
Establishment of employment standards.
Development of position guides to clarify employment standards for each position.
Preparation of forms for giving information to prospective candidates about openings in the system and for obtaining needed information about the candidates.
Development of recruitment record system.
Preparation of recruitment activities schedule.
Preparation of recruitment budget.
Orientation of recruiters.
Management of recruitment correspondence.
Systematization of screening procedures.
Advertisement of vacancies in system.
Development of plan to check on the progress of each candidate.
Appraisal of recruitment process.

- Scheduling of both the annual and day-to-day recruitment activities should also be controlled at a central location, preferably in the office of the personnel administrator. A recruitment calendar is indispensable to the task. The basis of this suggestion is that recruitment is conceived as a year-round effort, despite the fact that there will be times within the school year when recruitment will reach both high and low levels of activity. Questions that illustrate the need for organizing recruitment procedures are, "Who will travel on what day to see what applicants?" and "Who will arrange for interviewing candidates who visit the system, and on what day and hour?"
- A good recruitment plan will take into consideration ways of processing efficiently the usual volume of correspondence. For every inquiry from an applicant there must be a response. In addition, letters will go to potential candidates who have not applied. For every interested applicant there will be appointments, schedules, forms, records, and related activities that add to the correspondence burden. The real challenge of recruitment correspondence lies in developing ways by which it can be handled accurately and on time. Many good candidates are lost to organizations because of correspondence problems.
- Recruitment action control (about which more will be said in the discussion on the processing of individual candidates) is another matter that must be carefully organized. Action control simply means that once the school system advertises for applicants to fill positions, a scheme must be devised to check on the progress of each candidate as he takes the various steps in applying. Applicants lose interest,

fail to supply certain information and are rejected, fail to appear for interviews, or decline to accept the position when it is offered. Current information on the status of each candidate is essential to the conduct of recruitment.

- *School officials recognize that budgeting is an important element in the recruitment process. If recruitment is seriously pursued in a school system, it usually calls for expenditures of one kind or another. It may involve, for example, funds for publications describing existing vacancies and position qualifications; for visits to observe candidates in other organizations; for consultant services in developing position guides; for travel, entertainment, development of standardized forms, printing of brochures; for payment of applicant expenses, advertising, and for the extensive amount of correspondence to be handled. It may well involve relatively large sums if the board of education decides to extend the search to geographic areas beyond the normal supply sources. Staff-building is so important to the welfare of any organization that it calls for systematic planning. Because the budget is a powerful planning device of the administrative staff, it should be utilized to define recruitment plans and to translate these needs into funds necessary for their support. It has been said many times that outstanding personnel are not necessarily seeking a change of positions. They must be sought out and induced to change their place of employment. Clearly, the more intensive and extensive the recruitment effort of a local school system, the higher the cost and, hopefully, the greater the expenditure return.*

THE INDIVIDUAL RECRUITER

Regardless of the manner in which the recruitment efforts is organized in a school system, it is likely that several persons will be assigned to the very important role of making initial contacts and negotiating with applicants. The significance of the individual recruiter to the success of the operation is not always understood or appreciated. Several steps need to be taken by the school system with respect to individual recruiters. These include

- Identifying those persons who will be responsible for contacting and discussing with applicants the vacancies to be filled.
- Making every effort to ensure that the individual recruiter has the knowledge and judgment to discuss not only the position to be filled but has the interpersonal competence and verbal skills essential to his role.

- Clarifying the role of the individual recruiter. (Does he appraise the candidate's qualifications for the position? To what extent is he expected to negotiate with the candidate for the position?)
- Deciding on the role the recruiter plays following the initial contact. (Does he file a report, make an offer, or follow up?)
- Standardizing the role of the individual recruiter so that he will follow definite procedures, such as the kinds of information he will give to each candidate about the organization; and at what point he will begin selection activities. (A manual for recruiters can improve the effectiveness of the individual recruiter.)

To sum up, every school system needs to give careful consideration to the selection and special orientation of individual recruiters who make personal contacts with applicants. Moreover, steps should be taken by the organization to structure the role of this agent, to the extent that he is fully aware of what he is expected to do, how he is expected to perform his role, and the relationships to be maintained in carrying out his tasks.

In this section, examination of the various recruitment activities has indicated the diversity of contributions that can be made by the recruitment process to the personnel function.

We shall now turn from a discussion of the roles of individuals in the recruitment effort to the development of sources from which prospective personnel may be obtained.

Developing Applicant Sources (Step 3)

We have just examined the manner in which a school system organizes the work which comprises the recruitment process. Specific tasks are to be performed and there are individuals in the system to whom responsibility for performing the tasks will be delegated in order to get speedier and more efficient action. The next related step in the sequence of recruitment activities is to identify all known sources of manpower from which needed personnel can be selected. For purposes of discussion, the sources of personnel will be divided into two categories, internal and external.

INTERNAL PERSONNEL SOURCES

A major objective of personnel recruitment is improved staff quality. Its attainment will involve several kinds of analyses of existing staff

resources prior to recruitment. The purpose of these analyses is to disclose imbalances in the makeup of the total staff, current manpower potential for filling openings, and number and types of openings available on a short- and long-term basis. For example, staff shortages may exist in certain areas: in the number of out-of-district or out-of-state personnel, and in the number of ethnically, culturally, and philosophically diverse personnel. There is a need for a wholesome variation in traits, skills, qualities, points of view, and backgrounds among staff members. The recruitment process should be aimed also at providing a balance in the number and kinds of staff generalists, specialists, and administrators. This will involve a continuous survey of personnel requirements to assure adequacy and diversity of human resources in the staff as a whole, as well as in each operating unit of the school system. In brief, the manpower plan, and the staff development plan to support it, will provide clues to manpower potential within the organization with which to fill some of the position openings.

Intrasystem Transfers and Promotions. Although it is generally conceded that a school system will need to recruit some of its personnel from outside sources, especially for vacancies at the lower level of the structure, it is also considered sound policy to promote and to transfer current staff members. It must be clearly understood that there are certain types of positions from which there is no advancement, and that there are certain individuals who are satisfied to remain indefinitely in the same position. But the general policy of promotion to better and to more attractive positions from within is to be encouraged. Recruiting from the outside should be undertaken when existing personnel cannot meet the necessary requirements.

Personnel transfer may be used effectively, under certain circumstances, to fill openings in the system. When carried out in accordance with union contracts, transfers can be used to reward personnel who want a change but who are not promotable to higher position classifications. Transfers can also deal with problems of staff members in relation to position or personality compatibility, morale, physical disability, or organizational needs.

The manner in which positions are filled from the inside depends upon personnel procedures in the school system. Two methods are generally in operation: selection by the system, and position posting. Under the first method, personnel within the system who are capable of advancing to better positions within the organization are identified through the organization's personnel-appraisal system. In this approach, personnel record systems are designed to store information, including biographical, skills, and performance data. These can be retrieved instantly when candidates for transfer or promotion are considered. In

some instances, personnel will have been singled out and provided with career developmental experiences before vacancies develop.

Position posting means that certain types of vacancies are advertised throughout the school system, including the position guides which govern the selection process. This approach encourages personnel within the system to take advantage of the opportunity to obtain a better position. Union contracts, especially those relating to service personnel, sometimes contain clauses requiring that the opening be filled on the basis of seniority. The disadvantage of this approach is that qualified personnel are frequently passed over in favor of mediocre staff members with seniority.

EXTERNAL PERSONNEL SOURCES

The external personnel sources available to a school system are numerous and varied. The extent to which these sources can be cultivated to locate potential recruits depends to a considerable degree on the recruitment policy and the plans of the district. If the recruitment effort is to succeed, it must produce a pool of applicants well in excess of the number of openings; otherwise a selection process exists in name only. This implies that a variety of personnel sources should be utilized and that contact with these sources should be constantly maintained. The major external sources of supply include the following; some pertain to professional personnel and others to service personnel:

- Placement bureaus of colleges, universities, technical schools, and *other institutions whose mission is primarily educational.*
- Employment agencies, both public and private. These include state employment services, commercial teacher placement agencies, state education agencies, state teachers' association placement bureaus, and privately operated employment firms.
- Unions or professional associations.
- Unsolicited applications (walk-ins, write-ins).
- Referrals from intrasystem personnel.
- Consulting and recruiting firms.
- Advertising (newspapers, technical and trade journals, radio and television, outdoor).
- Campus and field recruiting.
- Other school systems.
- Community organizations.
- Military services.
- Organizations for disadvantaged groups.
- Temporary-help service organizations.

DEVELOPING PERSONNEL SOURCES

If the school system is to attract a pool of qualified candidates from the several personnel sources listed, the details of developing each source must be worked out. Schools with large numbers of vacancies to fill each year will utilize different sources and employ techniques different from those preferred by small districts. Those charged with operating the recruitment program must anticipate which sources will yield the greatest number of qualified applicants, how much time and money should be invested, and what methods should be employed to encourage competent individuals to want to work in the school system. Several of the sources mentioned will be analyzed in this section to illustrate the nature of decisions to be made and the methods to be employed in their development. Every recruitment transaction has a price tag that may exceed the cost some schools are willing or able to afford in time, money, and people. Before any decisions are made about which sources should be used, each needs to be examined in terms of past productivity, cost, speed of return, and present prospects for yielding the types of applicants envisioned in the position guides.

Campus and Field Recruiting. School systems have occasion to send representatives to college campuses to contact professional personnel such as classroom teachers, instructional specialists, and administrators. This effort requires careful planning if it is to be successful. Generally speaking, more recruitment time is essential to develop this source, including candidate contacts and interviews, than almost any on the list.

Field recruiting may be undertaken periodically by the system in need of large numbers of applicants. The gist of this approach is to establish a team of recruiters in a central headquarters, usually in a major urban area where a reservoir of professional personnel exists. Advertising in newspapers or on radio or television programs is initiated before the field trip so that applicants will know of the approaching interviews. The decision to utilize field interviews or other intensive procedures to recruit professional personnel will depend upon a number of factors, including cost, availability of applicants, and effectiveness of yield.

Recruitment Advertising and Literature. The use of advertising to recruit school personnel is generally considered to be an approach with considerable merit, especially with regard to service personnel. But it is fairly evident that extensive advertising can be expensive, and a number of decisions related to its use often require expert counsel. Questions as to the media in which to advertise and the frequency of advertising emphasize the point that planning is important. Modern advertising techniques have gone well beyond the help-wanted ad, and the variety

of media available for recruitment should not be overlooked. Newspapers, brochures, radio and television, technical journals, and direct-mail advertising can be used with effectiveness to communicate employment needs to wide audiences or to selected groups, quickly and relatively economically.

The act of attracting applicants to fill positions in a given school system involves considerable communication between the organization and the individual candidate. The individual needs information about the nature of the position, the community, and the system itself. He has questions about salary, benefits, working conditions, and reporting relationships. The organization, on the other hand, needs information about the candidate regarding such matters as education, work history, family background, health, personality, and economic and social adjustment. Furthermore, the system needs to transmit information about vacancies so that it will come to the attention of prospective candidates. As can be seen from the following list, the informational aspect of recruitment is a two-way proposition. Both the candidate and the school system need information about one another. For the informational requirements of both parties to be satisfied, the school system needs to systematize its plans for giving and getting information to facilitate the recruitment process. More specifically, standardized forms are designed to secure information about

<i>Information the School System Furnishes Candidate</i>	<i>Information the School System Wants About Candidate</i>
Position guide	Education
Community data (brochure)	Health
School system data (brochure)	Family background
Physical location of position	Work history
Personnel policies and procedures	Social adjustment
	Personality

candidates; these might consist of brochures, manuals, fact sheets, and other means of organizing information for the candidate about the position and the environment in which it is located. Administering this phase of recruitment means that the personnel director carefully plans communications so that the candidate is fully informed about the position and its relationships; at the same time, he takes steps to get whatever information is needed to assess the suitability of the candidate for the position.

Placement and Employment Agencies. Public, private, and institutional employment agencies are important resources for locating personnel to

fill various kinds of openings in the school system.² If the personnel administrator is to make effective use of the services of employment and placement agencies, it is essential that he become familiar with the nature of services rendered by each organization. There are public and private employment agencies that have developed nationwide arrangements to assist them in satisfying the needs of their clients. In obtaining service personnel—who include food services, transportation, maintenance, operation, security, clerical, and secretarial staff—public and private agencies can be helpful. Private agencies are increasingly concerned with employment for professional and technical personnel. It is worth noting, too, that the local school system can facilitate cooperation with employment agencies through the careful preparation of position guides which contain complete information concerning the duties, responsibilities, qualifications, and relationships of each position opening, so that preliminary screening can be undertaken effectively. Quite obviously, agencies in possession of such position guides are capable of providing assistance to both the candidate and the school system. The candidate can quickly determine whether he has the general qualifications needed and whether the position is of interest to him or her. The school system benefits both from the initial screening and from the responses that can usually be generated through employment agencies.

Employment of the Disadvantaged. For reasons that have deep and enduring cultural roots, there are special groups of people in every society who bear or suffer from some social stigma, to the extent that they are at a disadvantage in competing for various types of employment. A profile of special groups with employment disadvantages is

Table 6.4. Profile of Special Groups with Employment Disadvantages

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1. Minority Groups: Negroes, American Indians, Japanese, Chinese, Filipinos, Koreans, Polynesians, Indonesians, Hawaiians, Aleuts, Eskimos, Mexican Americans, Puerto Ricans, and other people with Spanish surnames.
 2. Women.
 3. Social-stigma groups: Ex-criminals, alcoholics, licentious or dissolute persons.
 4. School dropouts: Nongraduates of high school.
 5. Under 22 years of age: (youth).
 6. Forty-five years of age and older.
 7. Handicapped (physical, mental, emotional).
 8. Unskilled, unemployed, underemployed.
-

² The Wagner-Peyser Act of 1933 created the United States Employment Service and facilitated cooperative establishment of state employment services throughout the nation.

shown in Table 6.4. The employment and assimilation of minority or special groups in the field of education create human problems both for the system and for the individual possessing one or more special group characteristics, e.g., race, religion, color, age, ancestry, physical handicaps, sex. Both need special organizational consideration. In addition to the typical processes applicable to all personnel, there are complex problems involved in employing people from special groups. These include ways of increasing employment opportunities of these groups, improving their skills, attitudes, and abilities through continuing education and development, providing upward mobility into positions of status and responsibility, integrating the interests of the individual with the organization and with the work of other groups within the system to which they relate. Balancing recruitment efforts so as not to treat any segment of the population unjustly, and using criteria for selection, promotion, and separation which do not violate the civil rights of individuals are also complex personnel matters which constantly confront school officials. Moreover, the educational institution as employer has moral, legal, and social responsibilities which must be considered in employing members of special groups (included in Table 6.4), in assimilating them into other groups, and in integrating them into the total system. The social ideals of the United States embrace equitable treatment of all human beings. Title VII of the Civil Rights Act of 1964 is designed to assure all Americans that employability is not based on race, color, religion, sex, or national origin, but rather on ability and qualifications.* Beyond the moral, social, legal, and ethical considerations of employment, discrimination impairs the quality of the manpower-planning process because it diminishes the pool of human talent from which personnel can be recruited.

Resolution of the various sensitive issues involved in the employment of special groups will require more than the unsystematic and crisis-oriented approaches to which many organizations have resorted since the passage of the Civil Rights Act in 1964. What is needed is a manpower-planning approach to staffing, such as the systems described in Chapters 4 and 5. Manpower planning, it will be recalled, focuses upon differential approaches to recruitment, selection, placement, development, and utilization of personnel. Further, it is increasingly viewed as linking the various personnel processes into a coherent system whereby position incumbents and potential incumbents can perform effectively; but they are also readied by the system to assume increasingly greater position responsibilities. Suggestions for relating manpower planning to the employment of special groups include

* Selection on the basis of ability, skill, and attitude is considered to be a legally acceptable personnel procedure.

- *Employment policy.* The wide variety of professional and service positions in a school system calls for the adoption and adherence to employment policies consistent with the spirit and letter of federal, state, and local antidiscrimination laws.
- *Manpower planning.* Projection of the future organization structure and the staffing needs essential to system viability and effectiveness, as outlined in Chapters 4 and 5, will bring into focus both position openings within the system as well as recruitment needs from external sources. It is through this long-range approach that the promotability of individuals from special groups can be planned; and the manpower pool from which individuals will be recruited can be identified and assessed.
- *Recruitment process.* An effective manpower plan will direct efforts to recruit professional and classified personnel in special groups from sources, in both the public and private sectors, which heretofore have been ignored.
- *Selection process.* The selection process (to be examined in detail in the ensuing chapter) is planned so that the potential of individuals from special groups can be linked to positions and to plans for development needs, enabling them to perform effectively therein. One of the functions of the selection process is to screen out those who are not likely to succeed in the system, but it is also incumbent upon that function to search for, identify, and employ personnel from various sources with potential for career development in the system.
- *Development process.* The day has not yet arrived when the majority of school systems in the nation view the development of *all* personnel as both a fundamental obligation and an economical approach to more effective staffing. This is especially true of employees who often differ from the norm in motivation, needs, ability, education, and potential. This is to say that development programs need to pay more attention to individuality, to meeting individual needs to achieve position effectiveness, and to providing feedback mechanisms to and from personnel who need special assistance.

Thus, the employment of the disadvantaged is now a matter of social policy, and it behooves all educational institutions to develop longer-range, more systematic plans for its implementation. Although the issues involved in employing the disadvantaged are complex and sensitive, their resolution depends upon both system commitment to social ideals and to linking the personnel processes into a coherent system which accepts and is geared to dealing with the challenge of improving opportunities for them.

Coordinating the Applicant Search (Step 4)

Attracting the best applicants available to fill vacancies in the system is a major concern of the personnel function. The recruitment activity moves from the planning stages into goal-realization when the individual responsible for recruiting receives authorization to proceed with the activities involved in the process. Such authorization entails permission to spend budgeted recruitment funds and to add personnel to the payroll. The authorization also legitimizes the beginning of the applicant search, and necessitates what has been referred to earlier as *recruitment action control*. Action control is a term which refers to activities involved in monitoring the progress of each candidate as he takes various steps in applying for a position.

Let us concern ourselves then with a critical step in the recruiting process—processing the individual who may be a drop-in, write-in, refer-in, invite-in, or go-to prospect. It is quite apparent that the processing system must be systematized prior to the announcement of vacancies. For our purposes, we may categorize the processing system as consisting of both internal and external activities.

INTERNAL PROCESSING

At some point in the recruitment process there is an initial contact between the candidate and the school system. The prospective applicant may drop in to the central office of the school system, may make an unsolicited application by letter, may be referred by an interested party or agency, or may be contacted by a recruiter in the field. Administrative arrangements must be established to accommodate all of these recruitment eventualities.

Central Office. The nerve center of recruitment activities is a designated office in the central administration, with responsibility for processing individual applicants for positions in the system. It is to this office that all solicited and unsolicited applications are referred. The receptionist in this office greets individual candidates and puts them at ease; provides them with information concerning the application process; sees that candidates are interviewed on schedule; and sees that they complete whatever steps are involved in the total selection process. Another function of the receptionist is to discourage unsolicited applicants who are clearly unqualified. This saves time for personnel actually conducting the selection process.

The central office staff also handles recruitment correspondence, arranges interview schedules in advance, makes hotel reservations when necessary, completes expense vouchers, schedules luncheons, and arranges visits. This staff also maintains a central recruitment file so that folders of each applicant can be directed to the proper locations as the candidate progresses from one phase of recruitment to another.

EXTERNAL PROCESSING

When the recruiter goes into the field, either to contact a known candidate or to locate qualified candidates and encourage them to apply for current vacancies in the system, the plan of action should be determined in advance. The field prospect must be given the essential information about the vacancy and told of the steps involved in applying. Generally, the individual recruiter is supplied with a kit containing application blanks, brochures, and complete instructions for individuals to file their applications. Preliminary interviews are conducted by the recruiter and, on occasion, hiring decisions are made on the spot. In this case, hiring decisions are guided by standards formulated in the central administration. If further interviews are necessary, visits to the school system are arranged by the recruiter. The plan described, or one similar to it, may be used to deal with individuals who take the initiative in applying for position openings.

The aim of the recruitment process is to locate qualified individuals and to arrange a contractual agreement between them and the organization. Whether or not this agreement is reached depends to a considerable extent on the manner in which the prospective candidate is treated between the point of initial contact and the completion of the selection process. Careful planning of the recruitment procedures can contribute considerably to a favorable image of the organization. If they are designed to minimize anxieties that usually attend application for employment, to move the candidate as quickly as possible through the procedure, and to develop a feeling of security about the school system as a place to work, the chances are good that the time, effort, and money invested will yield high returns.

Controlling the Recruitment Process (Step 5)

If there is any validity to the contention that each component of a school system should be appraised in terms of its operational effectiveness and its contribution to the larger aims of the enterprise, it follows

that the results of the recruitment process should be continuously examined. Questions such as the following need to be posed to determine whether recruitment operations are realizing the expectations the system holds for them:

- What services are expected to be performed in the recruitment process?
- Are the costs incurred in conducting the recruitment program reasonable in terms of the anticipated results?
- Is recruitment yielding the number of applicants essential to an effective selection process?
- Are recruitment efforts securing the quality of personnel needed in the organization?
- Are the indirect costs of recruitment defensible, such as staff time that could be utilized in other ways?

The foregoing questions give some idea about how the school system can go about setting standards for the recruitment of personnel. Wise administration will insist on analyzing the following characteristics of the recruitment program in terms of standards and results.

CONTROL OF RECRUITMENT COSTS

A careful accounting of recruitment expenditures is essential not only to prepare the budget but to provide administration with information as to whether or not the expenditures are yielding results. In addition to recruitment expenditures allocated to personnel (professional and secretarial), there are operational expenditures: advertising, communications (correspondence, telephone, telegraph), travel and living expenses, medical fees (physical examinations), printing, supplies, and equipment. After total recruitment costs have been calculated, unit costs such as cost per applicant employed, cost per applicant by source, cost by recruiter, cost per contact, and cost per professional versus cost of service employee hired are examples of indicators that should be analyzed to get a clear view of the cost of recruitment.

CONTROL OF RECRUITMENT SOURCES

Some sources of personnel are more productive than others. The school system is interested in knowing what personnel sources yield the best quality, and at what cost. It is quite understandable, for example,

that the source of the most satisfactory professionals might not be the nearest teacher education institution. It is also conceivable that advertising might provide more or better contact with secretarial personnel than would an employment agency. The school system is interested also in knowing the cost of utilizing alternative sources of prospective personnel. Presumably, there is a unit cost for each initial contact beyond which investment is not prudent.

CONTROL OF RECRUITMENT PROCESSING

In addition to the kinds of unit recruitment costs mentioned, other measures are useful in examining the effectiveness of the various recruitment activities. The ratio of applicants (both professional and service) to position offers; the ratio of offers to acceptances; the reasons for rejections; the ratio of applicants to actual interviews; and the opinions of applicants on the recruitment process all provide school officials with facts and observations concerning the recruitment operation.

Because the amount of time that elapses between an applicant's initial contact and the final interview can be a very critical matter to both the candidate and the system, the personnel administrator should be interested in narrowing this time span as much as possible. Analysis of records relating to the actual time lapse and its impact on candidate acceptance of a position offer can help to resolve difficulties which often lead to attrition in the number of available candidates.

Results achieved by individual recruiters also bear examination. The cost per recruiter per hire, and the number of applicants or interviews per individual recruiter, are statistics worth keeping, especially if they reveal highly ineffective performances on the part of certain individuals assigned to this task.

The aim of recruitment controls is to make certain that the results of the operation are in keeping with established goals. If this state of affairs is to be realized, collection, analysis, feedback, and utilization of relevant recruitment information are essential.

Summary

The theme of this chapter has been that an extensive and aggressive program of recruitment, directed toward placing and keeping a qualified individual in every position in the school system, is essential to organizational effectiveness.

The cyclic activities of the recruitment process include developing re-

recruitment policies and procedures, allocating recruitment activities to individual positions, adopting means to locate and persuade individuals to apply for position vacancies, systematizing internal and external contacts with applicants, and appraising the results of recruitment activities.

Activities in the recruitment process are guided by and coordinated with previously established manpower, personnel development, and selection plans. The manpower plan determines the number of positions to be filled throughout the planning period; the development plan indicates the potential of current manpower to fill certain vacancies in the system; and the selection process focuses upon eliminating applicants who do not meet position requirements.

Recruitment is viewed as a centralized operation, usually under the general direction of an assistant superintendent for personnel or an equivalent administrator. In order to coordinate recruitment planning and operations effectively, consideration should be given to centralizing the recruitment, screening, and decentralizing selections. When decentralized plans are put into action, however, all phases of recruitment and selection must be tied together by consistent executive action.

Selection of Personnel

As the process of securing competent personnel moves from the recruitment to the selection phase, a number of formidable problems confront the personnel administrator. These include establishing role requirements; determining the kinds of data needed to select competent individuals from the pool of applicants; deciding what devices and procedures are to be employed in gathering the data; securing staff participation in appraising the data and the applicants; relating the qualifications of the applicants to the position specifications; screening the qualified from the unqualified applicants; preparing an eligibility list; and selecting suitable candidates for appointment by the board of education. In brief, one of the vital activities of the personnel function is designing, initiating, and maintaining an effective selection process. It is axiomatic that selection does not operate independently of the recruitment process. Unless the number of applicants exceeds the number of placements to be made, a selection process becomes unproductive. Recruitment, selection, and other processes of the personnel function are conditioned, of course, by general personnel policies. The number and quality of personnel that the recruitment process attracts, for example, will depend upon the design of policies governing the entire personnel function.

Figure 7.1 has been included to enable the reader to visualize the personnel selection process as a whole. It illustrates the sequential nature of the activities and serves as an outline for discussing each of the steps involved.

The primary aim of selection is to fill existing vacancies with personnel who meet established qualifications, who appear likely to succeed on the job, who will find sufficient position satisfaction to remain in the system, who will be effective contributors to unit and system goals, and who will be sufficiently motivated to achieve a high level of self-development. When the selection process is properly planned, additional benefits are derived. The system is able to exercise an important responsibility on behalf of the community and the profession: the elimination of candidates unlikely to succeed. Proper selection helps also to minimize the dissipation of time, effort, and funds that must be invested in developing

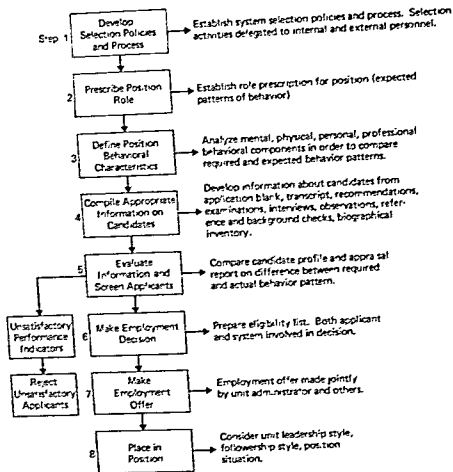


Figure 7.1. Model of the selection process.

a school staff. Moreover, a rational and uniform basis is provided for personnel selection which, when consistently applied, provides the applicant, the community, and the school staff with assurance that merit is the key factor determining acceptance or rejection. Thus, the board of education is provided with an instrument of control to maintain and to improve staff quality, and the chief executive, who is ultimately responsible for the selection of all personnel, is given a basis for justifying his selections.

Limitations of the Selection Process

Before considering the various steps in the selection process as outlined in Figure 7.1, the reader should be cautioned against presuming that good

selection techniques will eliminate unsatisfactory performance of personnel. Effectively utilized, the selection process can improve the quality of system membership, but instances of incompatibility between persons and positions, as well as individual dissatisfaction with work roles, will probably remain. Human problems associated with the selection of personnel are so complex that the prospects of achieving a perfect selection record in any organization are well-nigh impossible.

Goal ambiguity is one of the most important and persistent personnel selection problems confronting school systems throughout the nation. The crux of the matter is illustrated in this passage:

- Though many conditions contribute to our present difficulties, the fundamental cause is our own confusions concerning the central purpose of our activities.
- Schools have been far too willing to accept responsibility for solving all of the problems of young people, for meeting all of their immediate needs. That schools have failed to discharge the obligations successfully is clearly evident.
- Schools are for learning. They should bend most of their efforts toward the facilitation of learning.
- The kind of learning on which schools should concentrate most of their efforts is cognitive competence, the command of useful knowledge.
- Affective dispositions are important by-products of all human experience, but they seldom are or should be the principal targets of our educational efforts. We should be more concerned with moral education than with affective education.¹

The difficulties posed by system goal ambiguity as it pertains to the teacher selection process are numerous. For example, wide disagreement among board members, administrators, teachers, and community as to the central goals of education make it virtually impossible to prescribe the role of the classroom teacher so that she clearly understands to which of the cognitive, affective, and psychomotor objectives of education she should direct her efforts, and to what degree. Because selection, appraisal, compensation, and development of school personnel are activities conditioned to a considerable extent by role expectations, the need for minimizing uncertainty about educational aims within every school system becomes a matter of paramount concern.

Another major problem in the selection process (which will become increasingly apparent as this chapter evolves) is that available predictors of performance for teachers, administrators, and classified personnel are far from perfect. Gage, in an extensive review of research on teacher effectiveness and teacher education, points out that the search for a

¹ Robert L. Ebel, "What Are Schools For," *Phi Delta Kappan*, 54:1 (September 1972), 7.

scientific basis for teacher education and the improvement of teacher effectiveness is reaching solid ground, but more significant knowledge is needed. He notes:

What knowledge, understanding, and ways of behaving should teachers possess? During most of the history of education, the answer has been based on raw experience, tradition, common sense, and authority. Philosophers and theologians have applied their modes of truth-seeking to the problems of education, including the question of how teachers should behave. Then, with the emergence of the behavioral sciences in the twentieth century, attempts were made to apply the scientific method to the problems of school learning, teacher behavior, and teacher education.

Research on teaching has come a long way. From the naive effort of the 1920's and 1930's to the more sophisticated work of the 1970's, we can see genuine progress. Where the earlier effort sought well-nigh miraculous predictions of overall teacher effectiveness on the basis of a few test scores, the later work aims to improve such effectiveness in specific skills on the basis of intensive and validated training procedures. Where the earlier effort made much use of global ratings, the present-day work relies much more on reliable counts of specific behaviors. Where the earlier work focused on overall comparisons of extremely complex and vaguely defined "teaching methods," the more recent work focuses on evaluations of much more modest but also much more thoroughly controlled and described sequences of instructional acts evaluated on the basis of specific and reliably measured effects on students. Where the earlier work was hard to apply because the independent and dependent variables could seldom be pinned down or transported from one situation to another, the more recent work uses packages and products that can have the same form and meaning regardless of the situation or the user. Where the earlier work failed to differentiate among teacher roles, types of students, and varieties of educational objectives, the more recent work is much more modest and recognizes the need for specificity in these respects.²

In addition to the stated limitations of goal ambiguity and the lack of reliable predictors of performance, there are other limitations associated with selection procedures, the more important of which are touched upon here.

- Legal constraints limit the use of tests for selection purposes. Title VII of the Civil Rights Act of 1964 and the Equal Employment Opportunity Act of 1972 make it unlawful for an employer to use the results of a test to discriminate because of race, color, religion, sex,

² N. L. Gage, *Teacher Effectiveness and Teacher Education: The Search for a Scientific Basis* (Palo Alto, Cal.: Pacific Books, Publishers, 1972), 18, 203-208. Other useful summaries on what research reveals about teacher effectiveness include Robert L. Ebel, Ed., *Encyclopedia of Educational Research*, 4th ed. (New York: Macmillan Publishing Co., Inc., 1969), 1423-1437.

or national origin. If a minority group could show an adverse effect based on such a test, the employer had to prove the test was skills related. *Griggs v. Duke Power Company* challenged this principle, and in a landmark decision the Supreme Court struck down the use of general aptitude tests, and possession of a high school diploma as requirements for certain jobs.²⁴ The school system, as employer, is thus constrained in the interpretations placed upon test information, and in credentials for hiring and promotion practices.

- Economic constraints also affect the use of tests for selection purposes. The kinds of physical examinations now possible, which often have predictive value in such matters as absenteeism, are so expensive and time consuming that they are operationally prohibitive. Economics is also a factor in the use of psychological testing, including tests of abilities, personality, skills, and achievements.
- Changes in the position and in the person occupying the position occur so frequently that performance predictions during the selection process have limited potential. It is a matter of record that technological, occupational, organizational, and administrative changes pose a constant threat to organizational effectiveness and survival. Cone, for example, suggests that there are at least five aspects of managerial obsolescence: technological, interpersonal, cultural, political, and economic.²⁵ The point is that selection tools for predicting performance cannot be relied upon for estimating long-run behavior of personnel. Any personnel choice involves a degree of speculation.
- Constraints are imposed also upon the selection process by techniques employed to secure information about applicants and by interpretations made of the information by those responsible for the selection process. The information gathered through interviews, tests, reference checks, application blanks, and inventories may be incomplete, erroneous, or misleading. Moreover, different individuals reviewing the same information often differ markedly in their judgments about its meaning, and in the importance they attach to different components of information.

What all of the foregoing commentary on the limitations of the selection process adds up to is that although considerable progress has been made in developing knowledge about personnel selection, the fallibility of the process should be recognized. On the other hand, it is generally acknowledged that many school systems have not made effective use of existing knowledge about personnel selection in making decisions about which people shall be accepted or rejected for employment. It is to this topic that we will devote the remainder of this chapter, beginning with the first step in the selection process as outlined in Figure 7.1—developing selection policies and processes—and focusing throughout the discussion on ways by which the limitations of selection techniques referred to earlier can be minimized.

Selection Policies and Process

Whether a school system is small or large, a considerable amount of systemwide and unit planning is necessary if the thrust of the personnel selection process is to achieve congruency between people and positions. The case with which the selection process is designed and implemented depends to a considerable extent on the importance school officials attach to attracting and retaining competent personnel for employment in the system. It is not difficult to make a case for a thorough selection procedure, regardless of system size. The expenditure of time, money, and effort is wasted when people selected for positions fail to meet organizational expectations. Furthermore, the impact of poor teaching on children is so serious that the selection process in education is a matter of critical concern.

Although the selection process must be varied to meet the special problems, needs, and characteristics of every system, there are numerous preselection decisions that are universally applicable. As indicated in the selection process model (Figure 7.1), the first step toward effective personnel selection is employment policy. Although this matter has been considered in detail in Chapter 6, it is worth repeating: the basis for developing a unified system of plans for selecting personnel originates with the board of education. Board policy, in the form of a written statement, indicates to the community, the school staff, and to all who apply for employment in the system the intent of the board regarding personnel selection, and it serves as a guide in the selection process. The purpose of the policy is to set forth the board's commitment as to personnel selection, and to establish guidelines within which administrators responsible for the selection process will operate.

It is more than likely, in view of the composite character of the process,

that several statements concerning the board's selection policy will be combined to convey the board's intent. Details of selection policy and procedures are suggested in the outline shown in Table 6.2.

Another preselection decision linking selection policy with the selection process is the manpower plan. As indicated in Chapter 4, manpower planning precedes the recruitment and selection processes. The manpower-planning process identifies which positions will exist and will need to be filled during the planning period, and also identifies the function of each position in the unit and the system. Consequently, some aspects of the selection process are initiated during the manpower-planning process as decisions are made about internal transfers and promotions to fill anticipated position vacancies. Proper planning will help to clarify the vacancies to be filled and to determine the human characteristics needed to fill them, thus minimizing uncertainty in the selection process.

Organization of the Selection Process

In the discussion on recruitment, it has been noted that most organizations favor centralized recruitment and screening, although leaning toward decentralized selection. Before proceeding with a discussion of how the selection process might be organized, note that decentralized selection means that the person to whom an individual reports (teacher to principal) is the one who usually makes the final decision to accept or reject an applicant. The selection function is usually under the general direction of the personnel officer in the central administration. It is he who develops the pool of applicants from which selection is made, who coordinates designing of the selection process by which candidates' strengths and weaknesses are determined, who collects information from and about the individual candidate, and who sets up plans whereby characteristics of candidates are compared with the employment criteria specified in the position guides.

The basic idea behind the selection process is to organize the activities related to selection in such a way that the information from various sources about the candidate can be compared to the information about the job opening described in the position guide. The selection process may be simple or elaborate, depending upon the size of the school system, the number of vacancies, and the board policy on recruitment.

A well-organized selection process orders all actions necessary to achieve its mission; it indicates who should do what, and when. Attention to detail is of considerable importance both to the candidate and to the organization. The manner in which applicants are treated during

the selection process has a good deal to do with the way they perceive the system and interpret these perceptions to others, whether or not they are accepted or rejected for employment. The techniques employed in conducting the interview, the means of avoiding interruptions or delays in individual processing, and the procedures for controlling conditions under which tests are administered are typical of the details that should be given consideration in organizing the selection process.

Systematic selection is facilitated by a variety of reliable information. People who administer the selection process should be intimately familiar with the means for gathering, recording, storing, retrieving, and interpreting information about the candidate. For the personnel involved in selection, their ability to apply evaluation tools effectively of course affects the nature, quality, and quantity of information available for making a judgment regarding each candidate.

A good deal of flexibility must be built into the selection process in order to make it effective. Candidates with good potential but who are unsuitable for one position may well meet the qualifications for other

openings. On the other hand, those candidates deemed unfit for service in the system should be rejected during the initial stages of selection.

As illustrated in Table 7.1, organization of the selection process entails a series of decisions as to which activities can best be carried out by positions in the central administration and which by those in school attendance units. The intent of Table 7.1 is to illustrate the need for planning the selection process and for allocating responsibilities to achieve both efficiency and effectiveness. It would seem to be clear from an examination of the problems involved in personnel selection that continuity of, and results deriving from, the selection process are best achieved through organized effort, including preparation of plans in advance of the actual task of matching people and positions.

Role Prescriptions

As illustrated in Table 7.2, a wide range of talent is essential to the operation of a school system. Moreover, as the extension of educational opportunities becomes more prevalent, and as new teaching and learning technologies emerge, differences in the types of school staff members needed will increase. Team teaching, for example, requires individuals competent not only in subject matter but in interpersonal skills. It is also

Table 7.2. *Illustrative Performance Activities for Positions in the Goodville School System*

<i>Types of Positions</i>	<i>Illustrative Performance Activities</i>
A. <i>Administrative and Supervisory:</i> Superintendent Assistant superintendent: business, personnel, instruction. Directors, department heads, deans, principals, assistants, assistants-to . . .	Strategic and tactical planning, organizing, leading, controlling, representing, communicating, and directing attainment of objectives.
B. <i>Instructional:</i> Teachers, instructional specialists, paraprofessionals.	Planning for teaching, motivating pupils, developing classroom climate, managing the classroom, interacting with pupils, rendering personal services to pupils.
C. <i>Classified (supporting):</i> Secretarial, clerical, maintenance, operation, food service, medical service, legal service, transportation, security.	Routine, semiroutine, standardized, and supporting activities involving sensory-motor, manipulative, achievement skills.

apparent that the selection process is a control of primary importance in determining which people who enter the system will be likely to contribute most fully to the unit and to the organizational expectations.

Consequently, the second step in the selection process as outlined in Figure 7.1 is to establish role prescriptions for each position in the organization structure. This step, which also precedes the actual selection of personnel, is based on the assumption that until there are clearly delineated requirements for each position, the selection of personnel is difficult to conduct in systematic fashion. If the selection process is to focus upon employment of people who can perform effectively in a position, then the requirements of that position need to be prescribed in advance. Moreover, judgments about whether an individual performs effectively in a position should be based upon the degree to which his position behavior conforms to position requirements.

POSITION GUIDES IN ROLE PRESCRIPTION AND PERSONNEL SELECTION

One of the tools in the selection process that can be very useful in prescribing individual roles in the school system is the position guide. An illustration of one is shown in Figure 7.2, Parts A and B (p. 177). The position guide is a tool for formalizing the position characteristics governing the selection of personnel in a school system. It is designed prior to seeking available applicants so as to facilitate the matching of people and position requirements. Position guides direct attention to school purposes. What the school intends to achieve will affect the kinds of personnel selected. Because diversity of purpose calls for specialization, the school organization needs to define those teaching and service functions for which personnel are recruited. System purposes need to be translated into position specifications so that, on the one hand, the individual responsible for personnel selection knows what to look for and, on the other hand, the applicant knows what the school system is seeking.

The use of position guides will help to strengthen the administration's efforts to resist pressures to employ unqualified personnel. Their use also makes it possible to administer the selection process objectively and openly. Position guides also provide applicants and personnel agencies with a clearer understanding of school personnel requirements and qualifications. Placement, compensation, development, and union relationships are additional facets of the personnel function in which position guides are utilized. In the final analysis, any device that helps the administration to define its aims and to relate those aims to position specifications is worthy of attention.

POSITION REQUIREMENTS

The position guide, as illustrated in Figure 7.2 (Parts A and B, p. 177), enables the school system to provide one of two major elements included in the information system for personnel selection. The first of these is *information about the position*, including responsibilities, relationships, position standards, special features, and behavioral characteristics needed by the position-holder to perform effectively (Part A). The second element is *information about the applicant*, which is needed to determine how well the *candidate's qualifications match the position requirement* (Part B).

Position guides specify the minimum requirements of the position and the requirements of persons to qualify for appointment to the position. Figure 7.2, Part A, referred to earlier, is designed to illustrate the manner in which *position requirements* are described, including the following components: position title, position code, primary function, major responsibilities, key duties, special conditions, organizational relationships, and performance standards.

It is worth noting that the position requirements (specified in Figure 7.2, Part A), which focus upon *changes in pupil behavior* as the criterion for judging teacher effectiveness, shift from studying primarily what a teacher does (means of instruction) to examining changes in learner behavior as a result of instruction (outcomes of instruction).[†]

Examination of Figure 7.2, Part A, indicates that there is no simple solution to the thorny problem of developing position requirements in a school, or in any other type of organization. Different positions have quite different characteristics and it is erroneous to assume that a position guide for one particular situation will fit all others within that category.

The unresolved questions involved in preparing position guides for teaching and administrative positions are among the most difficult and persistent organizational problems, and yet, considerable progress has been made in utilizing this tool for the resolution of numerous personnel problems. These are some of the more important observations that should be made about position guides.

- The concept of developing position guides for teachers is not without controversy. There are those who argue that all teaching positions are alike, therefore development of different position guides for similar positions is a waste of organizational time and effort. Arguments have also centered on the assumption that role prescrip-

[†] Research and trends in predictive measures of teacher effectiveness are summarized in William H. Lucio, "Pupil Achievement As an Index of Teacher Performance," *Educational Leadership*, 31: (October 1973), 61-71.

tions place undue limitations on the individual in performing his role. Although these criticisms have some validity, they are not so telling as to warrant elimination of position guides.

- As noted earlier, position design in education is undergoing considerable change, and the need is for improving rather than dispensing with the specification of position requirements. While the search goes on for more definitive ways of specifying teacher behavior, the practicing administrator must proceed on the basis of existing information relative to position requirements. He cannot wait for tomorrow's developments if he wishes to avoid internal conflict and stress about what roles people are to perform in the system.
- Preparation of position guides is a task undertaken by individual school systems in light of the established goals of the system, the objectives assigned to individual school attendance units, and the positions established within each unit. Methods of gathering information about position requirements include examination of existing position guides, observations of the performance of the position-holder, interviews with the position-holder, descriptions of the position by the incumbent, and the design of position models for testing assumptions about the actual requirements. Because of the complex nature of instructional positions, it may well prove to be desirable to develop position guides at a level of generality which enables professional personnel to exercise the latitude, the flexibility, and the creativity they need to fulfill the role and to realize self-fulfillment in the process. Bolton has suggested, for example, that position analysis should include:

(a) *the general nature of the position*—including the broad goals of the system, the organizational structure of the system, and the general expectations of the teacher in and out of the classroom.

(b) *the static and dynamic features of the position*—including what is important at the beginning, what is likely to change, what will affect these changes, the nature of the students, and how the position will be affected by other people.

(c) *the teacher behaviors required and desired*—in the classroom and out of the classroom, and

(d) *the teacher characteristics sought*—including aptitudes, skills, social requirements, interests, and physical requirements.*

- Specifications for positions should not be conceived with rigidity or finality, for, as pointed out earlier, both people and positions change

* Dale L. Bolton, *Selection and Evaluation of Teachers* (Berkeley, Cal.: McCutchan Publishing Corporation, 1973), 6.

over time. Changes in student enrollment, leadership styles, professional developments, working conditions, and educational technology make it necessary to review and modify position requirements accordingly. Bolton notes, for example, three major situational factors affecting teaching performance:

- (a) *pupil characteristics*—including measures such as attitude, interests, abilities, motivation, morale, and prior learning;
- (b) *principal characteristics*—including orientation to change, ability and interest in helping teachers, human relations and organizational skills, and decision-making style; and
- (c) *colleague characteristics*—including general *esprit*, attitude toward newcomers and change, willingness to help new teachers, and willingness to plan programs cooperatively.*

- The minimum requirement of a position guide is *clarity*. Each administrative component in the school system, and each individual occupying a position within that component, needs to know what he is expected to do to perform his role successfully, to whom he reports, and where to go for whatever is needed—be it information, funds, facilities, supplies, or equipment—in order to perform according to expectations. In addition to understanding individual role requirements, the position-holder needs to know the relationship between what he does and what the school system is intent upon doing. In brief, the position guide is a useful tool for bringing about a closer understanding of the manner in which individual position objectives are linked to system goals.
- The design of every position in the school system provides an opportunity for the designers to focus upon what Drucker¹⁹ refers to as “direction of vision,” which is to say that the position guide should be fashioned so as to emphasize results rather than the skills, competencies, or activities involved in attaining results.

In view of the foregoing considerations, it should be apparent that the second step in the selection process, role prescription, is both challenging as well as complex, especially as it pertains to getting a better fit between the instructional process and the characteristics or competencies of human beings needed to fill its requirements. In the ensuing section we shall examine the other side of the selection coin—the information we need about the applicant to determine how closely he or she meets the position requirements.

* Bolton, op. cit., 5.

¹⁹ Peter F. Drucker, *Management: Tasks, Responsibilities, Practices* (New York: Harper & Row, Publishers, Inc., 1973), 554.

Applicant Behavioral Characteristics

The third step in the selection process, as outlined in Figure 7.1, is to specify the behavioral characteristics needed to perform in a given position (person requirements). It is generally agreed that these elements are difficult to identify; many defy precise measurement. The discussion which follows is concerned with the person requirements needed to complete the position guide described in Figure 7.2, Part A.

PERSON REQUIREMENTS

Figure 7.2, Part B, illustrates the desired qualifications for the hypothetical applicant who will occupy the position described in Figure 7.2, Part A. Development of the person requirements includes consideration of these elements: academic preparation, professional preparation, experience, adaptability to position dynamics, i.e., changes in the nature and structure of the curriculum; in instructional models; in interpersonal relations among students, staff, parents, and lay persons; in the governance structure; in the student population; and in the community.

Thus, in the position guide illustrated in Figure 7.2, Parts A and B, the formal organization has not only been committed to a written record of the position and person requirements, it has provided information useful in such aspects of personnel administration as recruitment, selection, placement, initial compensation, performance appraisal, staff development, and salary adjustments. The guide is especially helpful in the selection process when comparisons need to be made concerning the qualifications of applicants as to position requirements.

Behavioral Characteristics and Performance Prediction. Table 7.3 contains information about the kinds of personal characteristics usually considered in selecting school personnel, as well as the tools employed to secure information related to each of these behavioral components. One of the difficult problems confronting the school officials responsible for personnel selection is determining which behavioral characteristics listed in Table 7.3, and which combinations of them, are valid predictors of position performance. More specifically, the system needs to know which personal characteristics are the best predictors for effective performance in specific positions. Research efforts have not yielded reliable evidence on the best predictors of teaching or administrative performance. But considerable effort is being made by various types of organizations to identify the special behavioral characteristics needed for success in a

Table 7.3. Sources of Information Employed in Selection Process to Assess Candidate Behavioral Characteristics

Behavioral Characteristics	Sources of Information								
	Application Blank	Preliminary Interview	Diagnostic Interview	Performance Reference	Medical Examination	Paper-Pencil Tests	Placement Agency	Performance Assessment	Biographical Inventory
1. Candidate background information	X	X		X			X		X
2. Personal characteristics						X			
Conceptual skills			X	X				X	X
Technical skills							X		
Interpersonal skills		X	X	X				X	
Work motivation		X	X		X			X	X
Emotional stability		X	X		X			X	X
Physical status					X				X
3. Attitudes, interests, needs	X	X	X				X		
4. Ability to perform key duties				X	X	X		X	X
5. Position-related preparation and experience	X	X		X			X	X	X
6. Teaching performance		X	X			X		X	
7. Value system									

particular position, the degree to which each characteristic is needed, and the degree to which individual applicants possess them.

Candidate Background. It is generally assumed that the best indicator of what an individual will do in the future is what he has done in the past. Thus, one of the essential elements in the process of selecting personnel is comprehensive knowledge about the candidate's background. The system wants to know, for example, what the applicant's work history and performance have been, how others view the actual or potential performance, whether the work has been routine or innovative, and the pattern of his employment compensation. In addition, facts relating to age, family background, marital status, and educational preparation are useful in developing patterns of past performance. One reason for examining the candidate's background is to predict whether the previous work and personal history will lead to success in the specific position under consideration. Academic achievement is of particular interest in selecting professional personnel. The system needs to be informed about what knowledge the applicant possesses and its relationship to effective performance in the position.

Personal Characteristics. The candidate's conceptual skills are indicative of his thought processes; and his technical skills will provide information about his ability to perform a position's technical requirements. Information about his interpersonal skills often gives clues as to whether the candidate will fit into the social system, what his attitude is toward other people, and whether his social skills correspond with those needed for success in the specific position for which he is being considered. Information about work motivation is needed to determine the likelihood of a candidate's being willing to perform the position requirements, and whether he will apply himself consistently toward attainment of the position objectives.

Physical and mental health are unquestionable requisites for the employment of school personnel. Professional staff members are expected to perform consistently at a high level of physical and mental efficiency, and every effort should be made to appraise the actual and potential physical condition of each applicant. Experience indicates that chronic illness on the part of staff members is conducive to waste and inefficiency. If staff illness and disability exist to any extent, the educational program may suffer. In addition to discontinuities which develop in the educational program through physical incapacities of staff members, additional expenditures are called for when there are leaves of absence for extended illness and premature retirement resulting from disability. The argument here is not of course against absence resulting from normal illness. Efforts should be made, however, to eliminate candidates for employment who are actually or potentially unfit to perform efficiently.

For professional school personnel, *intelligence* is certainly a prime requisite for employment in school systems. Even though it is logical to expect that a high degree of intelligence is required for teaching effectively, this view is not universally held by school officials. Admittedly, many teachers have been employed in recent years with little regard for their intelligence. That this has been so does not justify the practice. What the intellectual level of a teacher should be depends upon how one views the teaching function. If it is assumed to be largely custodial, then the intellectual demands need not be rigorous. If, on the other hand, the teaching function is viewed as embracing considerable creativity, imagination, planning, and academic sophistication, then the intellectual qualifications for teacher personnel must be of a high order of excellence.

Nearly everyone would agree that *personal, social, and emotional adequacy* are as important as professional adequacy, and should be paid strict attention in the selection of all school personnel. Many kinds of techniques are employed to secure data regarding personal and social adjustment. These include self-descriptive inventories or personal reports, rating scales of personal and social conduct, observational and

anecdotal records, free association and projective methods, autobiographies, sociometric techniques, interviews, and situational tests.

Despite the variety of instruments of evaluation used to study personal and social adjustment, appraisal of these characteristics is not easy. Considerable training and skill are needed to apply the aforementioned techniques and to interpret their results. For a majority of school systems, a comprehensive survey of the personal and social adjustment of each candidate creates practical problems that are difficult to surmount. The time required to make a careful appraisal, and the specialized staff necessary to undertake this phase of personnel selection, illustrate the point. Despite these and other obstacles which enter into appraisal of personal and social adjustment, there is reason to believe that information yielded by such analysis can contribute to a more effective selection process.

Unfortunate as it is that the devices for measuring personal and social adjustment are not fully reliable, the importance of selecting personnel who are adequate in this respect cannot be overlooked. The limitations of subjective evaluation do not preclude the gathering and use of comprehensive selection data for use in making judgments about keeping individuals out of the classroom or the system whose personal or social maladjustment will have a negative effect on the growth and development of children.

Teaching Performance. *Appraising the professional qualifications* of a candidate—teaching skills, style of instruction, and understanding of the teaching-learning process—involves decisions as to which of several alternative techniques and procedures should be used to secure this information. The possibilities include observation report from previous position, observation in present position, paper-and-pencil tests, opinions of previous employers, academic records, and published material and other achievements that give evidence of professional qualifications. Observation of teaching for purposes of personnel selection requires a systematic approach, including a definition of the purposes of observation; assignment of observers with proper qualifications for instruction analysis; and use of instruments that facilitate observation, recording, and analysis of the teaching potential of the candidate under consideration. Observation may be made in person or by tape recorder, motion picture camera, or television cameras with live or videotape viewing. Some of the obstacles to securing information on the professional qualifications of potential staff members by means of observation include the expense, in time and travel, of observing personnel who reside in another district or state, the difficulties in arranging to observe individuals currently employed in another system, and the numerous problems associated with arranging for members of the selection team to observe candidates in actual classroom settings. Popham suggests the application

of a teaching performance test to assess one of the critical competencies needed by a teacher—the ability to achieve prespecified objectives.¹¹

Characteristics of a competent teacher include, of course, a thorough knowledge of that phase of child development for which he will be responsible. In addition, teachers need a broad cultural background to supplement the technical skills and knowledge that the position requires. Comprehension of the purposes of education in a democratic society, of the relationship of the teacher's area of interest to the culture, of the implications of cultural change for education, and of the applications of technology to teaching and learning are among the attributes needed.

Attitudes, Interests, Needs. The attitudes, interests, and needs of applicants are also important considerations in deciding to employ an individual for a particular position in the school system. The applicant's attitude toward teaching as a career, toward the requirements of the position, toward the reward structure, and toward involvement with the growth and development of children and youth are elements which, when they can be properly assessed, are useful when used along with other information in predicting those candidates most likely to fit the position requirements.

From the standpoint of selecting applicants for teaching positions, the general assumption is that when a person is interested in his work he will exert more effort to succeed, and will work harder at self-improvement. A high level of interest is often associated with high work-motivation, and in some cases offsets a lack of basic ability.

An individual's needs, ranging from physical (homeostatic) to self-fulfillment (social), should be related to the selection process. It is important to remember that there are certain kinds of positions in which the needs of some individuals cannot be satisfied even under optimum conditions of employment. For example, the individual with strong leadership drives and motivations, who is highly intelligent, active, and aggressive, and who has a history of leadership in high school or college, will have performance difficulties in a role which does not require these behavioral characteristics.

Value System. An applicant's value system provides clues as to his beliefs, his interest in meaningful achievement, and the extent to which his maintenance or motivational needs predominate. If, for example, it can be determined that an individual's maintenance needs (security, status, and social) are of less importance than his motivational needs relating to growth, achievement, responsibility, and recognition, this can

¹¹ W. James Popham, "Found: A Practical Procedure to Appraise Teacher Achievement in the Classroom," *Nation's Schools*, 89:5 (May 1972), 59-60.

help in judging whether there is a reasonable congruence between his value system and that of the position for which he is being considered.

With the completion of the person requirements of the position guide (Figure 7.2, Part B), the school system will have developed an instrument to record, in systematic fashion, information concerning three important questions pertaining to the selection of personnel: In what activities does the individual engage in performing the role; what results is he expected to achieve; and what behavioral characteristics should he possess in order to perform successfully in the role? Each role in the system, it should be noted, is a group of activities allocated to and unique to a given position. Further, each position has certain rights, duties, and obligations which the position guide should clarify.¹² These thoughts lead us to a consideration of means by which the school system secures information about the behavioral characteristics of people who apply for position vacancies.

Collecting Applicant Information

In appraising the various behavioral characteristics discussed in the preceding section, the information-gathering tools applied in the selection of personnel are those calculated to yield tangible data about the applicant in each of the categories in which he is to be judged. Such information, when viewed in terms of the total profile of the candidate, will make possible a more intelligent and reliable hiring decision. This is the fourth step in the selection process as shown in Figure 7.1. It results in bringing together information about what an applicant knows, what he has done, what he is like personally, what he wants to do in the system, how well he matches the specifications in the position guide, and how he is likely to perform if selected for the position. The task of matching individuals and positions, then, can be divided into the following subproblems:

- *Position specification:* What are the purposes, duties, and relationships of the position, and what results are expected from the person who functions in the position?
- *Person specification:* What specific behavioral characteristics should the holder of the position have?
- *Selection devices:* Which sources of information can be utilized effectively to predict candidate performance?

¹² For a discussion of status and role processes, see William G. Scott and Terence R. Mitchell, *Organization Theory: A Structural and Behavioral Analysis*, rev. ed. (Homewood, Ill.: Richard D. Irwin, Inc., and The Dorsey Press, 1972), Chap. 11.

The various selection devices employed to compile information include the application blank, selection tests, interviews, medical examination, academic transcripts, background investigations, personal-history questionnaires, recommendations, performance assessments, and information from placement agencies. The point to be made here is that no single tool or technique can be used to the exclusion of the rest, for each can be used to gain only certain types of information. Integration of information about the candidate from all sources is a primary function of the selection process. In the following discussion, summary observations will be made of the purposes, information capabilities, strengths, and limitations of each of the major selection devices listed in Table 7.3.

APPLICATION BLANK

The application blank is generally considered an indispensable tool in the selection process. Its primary function is to obtain information, in the applicant's own handwriting, in order to establish his identity and to make tentative inferences about his suitability for employment in the specific position for which he is being considered. If the candidate is hired, the application document becomes a component of the system's personnel file.

Design of the Application Blank. It is probably true that there are superfluous items on the majority of application blanks. The validity of each item, the completeness of the information elicited for the interviewer, and its effectiveness in transmitting needed information to members of the selection team are criteria that should be considered if every item in the selection blank is to be of worth in the selection process. Ideally, the items in the application form should be valid predictors of success or failure in position performance. It goes without saying that the application blank should be designed so that the interviewer need not secure and record factual data that can easily be gotten by the applicant's completing the form.

In the design of the application blank, consideration should also be given to whether specific forms should be prepared for each category of applicants as listed in Table 7.2. It should be noted that items included in the form should be designed to secure information that will help to match the person and the position, and to help predict success or failure in the position. The weighted application blank, for example, is designed to assign different values to answers applicants give to various questions, the rationale being that some items predict success better than others. The difference between a weighted and an unweighted application

blank is that in the case of the former the value or significance of the items of information furnished by the applicant is known.¹¹

Another option to be considered in the design of the application blank is the possibility of using two forms: (1) a short or preliminary application form, used for the initial screening, in order to make tentative judgments as to whether the candidate has employment qualifications which merit further analysis; and (2) a full application blank for those who appear to have the employment characteristics which merit further consideration.

An emerging issue in the design of application blanks is the inclusion of items designed to elicit from the applicant either personal information, authorization to verify information, or agreement to certain conditions if employed. Such statements include authorization to verify information, or to undergo physical or other examinations; liability release for those supplying information; agreement to probationary appointment; conditions relating to misinformation; declarations as to previous arrests or subversive activities; and certification of the truth of the application information.

Instead of limiting the employment application to its traditional purpose of a factual summation, Hershey urges that this selection device be designed to provide attitudinal information that can be explored during the interview. His study reveals that 24 per cent of the factual data on the employment applications were inaccurate, and only 11 per cent of the attitudinal data were incorrect. This leads to the suggestion that, if a battery of subjective questions were included in employment applications, they would be answered with a higher degree of accuracy than the usual objective factual questions.¹²

INTERVIEWS

The interview remains one of the most important selection tools for securing information and impressions about applicants. Despite its limitations, the interview can yield data and observations about candidates that other methods are incapable of providing. In no other selection

¹¹ Details involved in developing the weighted application blank are discussed in Stanley R. Novack, "Developing an Effective Application Blank," *Personnel Journal*, 49:5 (May 1970), 419-423. Another useful reference on the need to adapt application blanks to changing social conditions is Clemm C. Kessler, III and George J. Gibbs, "Getting the Most from Application Blanks and References," *Personnel*, 52:1 (January-February 1975), 53-62.

¹² Robert Hershey, "The Application Form," *Personnel*, 45:1 (January-February 1971), 36-39.

device is it possible to secure information not provided in transcripts and application forms, to observe interpersonal skills and responses, to test thought processes, and to judge values and aspirations. Although the variety of interviewing techniques for selection purposes is too extensive to discuss here, the following is a summary of important considerations to be observed in planning interview procedures.

- The number and length of interviews with a candidate increase with the importance of the position to be filled. A *preliminary* interview, mainly for screening purposes, is standard in most selection processes. Its chief purpose is to eliminate from consideration candidates who, for a variety of reasons, are clearly unqualified. The *decentralized* interview takes place between the candidate and the superior under whose jurisdiction he will serve. This type of interview is diagnostic and in-depth, and is aimed at determining the closeness of fit between man and position specifications. *Team* interviews involve several persons who interview a candidate simultaneously. The *group* interview is that in which a single interviewer discusses position openings with several candidates. Each type of interview is designed to minimize the amount of time devoted to interviews. The *final* selection interview is generally devoted to clarification of conditions of employment. As we have seen, various types of interviews can be used by a school system to give information to, and get information from, applicants.
- The *patterned* or *structured* interview, the core of which is a standard list of questions prepared in advance for interviewers, is another form of this selection device. The interview guide sheet containing the questions is helpful in recording and comparing candidate responses, and it puts the interview on a systematic basis. The relevance of questions and the finesse with which they are asked, however, constitute the essence of the interview method. Among the selection tools available, the interview is still the most widely used and, according to its detractors, the most misused.
- A recent study relating to the interview in the selection process indicates that "personal qualities" as a selection component are best evaluated in the interview.¹³ Another study by Bolton noted that teacher selection decisions are based on information, and that the format of information will affect these decisions. The study suggests that the information format that would yield optimum results consists of *instructions* regarding the processing of information, a single

¹³ Loren Lewis Scott, "A Study of Interview Methods Used by Recruiters of Beginning Teachers," *Dissertation Abstracts*, 29, 1A (1968), 107-108.

*summary document, no masking of information, and interviews that include visual as well as audio stimuli.*¹⁴

- Criticisms of the interview as a selection device have centered principally on the interviewer rather than the technique. Lopez notes that research by investigators has produced little evidence to testify to the validity of employment interviews. On the other hand, problems, such as the following concerning the use of the interview, have been brought into focus: untrained interviewers, variability of interview content, question variability, uneven interpretation, premature decisions, negative approach, and unreliable and inconsistent decisions made as a result of the interview.¹⁵
- Despite the limitations of the interview just noted, the indispensability of this tool in the selection process should be recognized. It is the principal means by which the school system links the identity of the individual with the application blank; it is also an important means for bringing into focus the human aspects of employment. Both parties are able to communicate face-to-face, to exchange information, views, and to identify applicant and system needs. The interview is a way of personalizing what has often been described as a "most impersonal" process.

TESTS AND MEDICAL EXAMINATIONS

Numerous tests can be used in the selection of personnel, including intelligence, aptitude, interest, achievement, and personality tests. Their primary use in the selection process is to predict the ability of applicants to perform effectively in relation to a given position. Whether or not tests should be used in the selection process is a question that cannot be answered categorically. They are useful under certain circumstances, but because of the costs, the specialized personnel needed, variations in predictive validity and reliability, applicant acceptance of test requirements, charges of discrimination when tests are required, possibilities of litigation, and union, as well as other pressures to eliminate testing, the addition of tests to the selection process becomes a matter for careful

¹⁴ Dale L. Bolton, "The Effect of Various Information Formats on Teacher Selection Decisions," *American Educational Research Journal*, 6:3 (May 1969), 329-347.

¹⁵ Felix M. Lopez, "The Employment Interview," in Joseph J. Famularo, Ed., *Handbook of Modern Personnel Administration* (New York: McGraw-Hill Book Company, 1972), 13-1. See also Richard A. Fear, *The Evaluation Interview*, 2nd ed. (New York: McGraw-Hill Book Company, 1973). This text features an interview guide including these components: (1) work history; (2) education and training; (3) early home background; (4) present social adjustment, and (5) personality, motivation, and character.

deliberation.¹⁸ Because there is not general agreement about the value of tests for generating useful information about applicants, school systems which use them must be aware of the administrative, technical, social, and ethical problems involved. Information derived from tests alone should not be used to make hiring decisions; when test data are used in combination with those from other sources, a more intelligent decision will probably result. The mounting criticism of the use of tests in the selection of personnel, especially the use of psychological tests for personality assessment and prediction of position performance, focuses upon the applicant's right to privacy versus society's right to information, neither of which can be resolved readily.

National Teacher Examinations are used on occasion as one of the devices by which to secure information to judge the professional qualifications of the candidate. Results of examinations such as the foregoing, together with an analysis of the candidate's academic transcript, have been used with or in place of classroom observation to arrive at an estimate of the candidate's professional qualifications. To a limited extent, judgments of other persons, as expressed in letters of recommendation, may have to be relied upon to secure information to supplement that derived from the sources mentioned previously. The individual responsible for personnel selection should keep in mind the relationship of the candidate's qualifications to the specifications of the position under consideration.

The general cultural examination represents another form of evaluation which has been used by school systems to secure some indication of the cultural level of the candidate. This examination may consist of paper-and-pencil tests, an interview, or both. The paper-and-pencil test might include both objective and free-response items designed to sample those aspects of the candidate's cultural background which relate to the abilities sought by the school system.

What should the school district do about appraising physical fitness? The minimum requirement should be a thorough physical examination by a qualified physician. A desirable program would include the following:

- Physical examination by school district medical personnel.
- Adherence to physical standards specified by the school district.
- Use of medical forms that reflect the relation of the physical characteristics of the applicant to the physical standards established, and

¹⁸ For useful insights into the problems associated with personnel testing, see Robert B. Miller, *Tests and the Selection Process* (Chicago: Science Research Associates, 1966), and Saul W. Gellerman, *Management by Motivation* (New York: American Management Association, 1968), Chap. 4, 5.

that encourage consistency in the interpretation of standards by medical examiners.

- Issuance of detailed instructions to medical examiners, indicating the purposes and the nature of the examination specified by the school district.

Few school organizations now question the need to obtain a medical report on each applicant. The school system is vitally interested in rejecting, for example, bus drivers who are color blind, food-service personnel with contagious diseases, custodians who cannot perform because of physical impairments, and teachers who are emotionally unstable. The medical examination, like any other selection device, is designed to determine whether the qualifications match the requirements of the work for which the applicant is being considered. Grimaldi suggests that the physical examination should be viewed as a *preplacement* examination, the aims of which are to

- Evaluate the physical and emotional status of the prospective employee to a degree compatible with the demands of the job for which he is being considered.
- Provide needed information on individual capabilities that will facilitate correct job assignment.
- Assist the prospective employee to maintain his health by counseling him on his physical defects, if any, and referring him to his personal physician for treatment.
- Protect existing employees by assuring that an incoming employee has no disease or disability that may threaten their health or safety.¹⁹

Viewed in light of the foregoing aims, the preplacement physical examination can be viewed as a selection tool applicable to both initial screening and placement activities.

APPLICANT REFERENCE AND BACKGROUND INVESTIGATION

The employment of school personnel is a very significant organizational activity not only because of the need to secure properly qualified individuals but because of the cost per hire in salaries, collateral benefits, recruitment, selection, appraisal, and development, and because of the difficulty of dismissing tenured staff members who are marginal performers. Consequently, investigation of the references and the background of those who survive the initial screening process is essential.

¹⁹ John V. Grimaldi, "The Use and Significance of the Pre-Placement Examination," in Elizabeth Marting, Ed., *AMA Book of Employment Forms* (New York: American Management Association, 1967), 479-487.

The more important the position in the organization, the more exhaustive should be the investigation.²⁰

Seldom is the information furnished by a referrer to be taken at face value; this is especially true with written statements. Whether obtained by telephone, mail, or direct contact, information should be checked to determine its accuracy and to ensure its adequacy. A useful reference is the former employer, especially the applicant's supervisor in previous positions. The strengths and weaknesses of the applicant, appraisals of performance, personal characteristics, and reasons for leaving a position illustrate the checks to be considered. Personal and academic references are less useful than those provided by employers but do provide helpful information, especially when specific questions concerning the candidate are asked. What is of considerable import in the reference and background investigation is the presence or absence of conflicting information. When information does conflict, that is a signal to investigate other sources to determine whether differences in opinions, judgments, or records of events are truly meaningful to the employment decision. Many school systems systematize the reference check by preparing a reference check form to make certain that the specific information needed is covered in the investigation, including appraisal of position performance, strong and weak points, reason for leaving, compensation history, absenteeism, and the willingness of the former employer to rehire or to give a positive recommendation.

Appraising the Data and the Applicants

The steps examined in the selection process thus far have emphasized the systematization of information—gathering and information processing—which leads to a decision to hire a particular individual for a given position. The next step in the selection process (Figure 7.1, step 5) focuses upon this question: How good is the match? Stated another way, to what extent do the qualifications of this individual meet the requirements for the position under consideration?

Rejection or acceptance of a position applicant is a prediction based upon a variety of information collected through the use of various selection tools and techniques. One strategy for assessing the characteristics

²⁰ This point is elaborated upon in H. J. Zoller, "The Impact of Changing Values and Lifestyles on the Selection of Managers," *Personnel*, 52:1 (January-February 1975), 25-33. See also Kessler and Gibbs, *op. cit.*, for a discussion of ways of up-grading letters of reference.

of a candidate is illustrated in Table 7.4.²¹ The underlying idea is to place a numerical value on information from each of the several information sources as it relates to the various position requirements. One of the implications of Table 7.4 is that before data can be utilized by persons charged with responsibility for the selection of school personnel, they must be evaluated and organized in order to facilitate analysis. Data relating to impact of the applicant on the behavioral characteristics of pupils are worthy of special attention because they are readily quantified and are related to instructional goals and objectives.

One important task in dealing with applicant data is to summarize them so that they are meaningful to selectors. Raw scores from tests can be converted into percentile ranks or standard scores so as to be comparable with normative information. Graphic profiles may also be used to portray the results of evaluation. Whenever possible, information should be expressed in quantitative terms. When descriptive data cannot be quantified readily, judgments of responsible individuals will have to be relied upon to order the rankings. By treating data from application blanks, interview guide sheets, reference and background check forms, tests, and other sources so that they can be capsulized into a profile of the diverse dimensions of a candidate, the task of relating characteristics of applicants to the specifications in the position guides can be accomplished more effectively.

An important task confronting selectors is to find meaning in the many bits and pieces of information gathered for each applicant. When all the information about a candidate is juxtaposed with the requirements of the positions and those of the school system, the selector must compare the two sets of facts and then predict whether the applicant will perform according to expectations. But out of the considerable pool of information, what facts, information, impressions, and incidents are predictive of performance?

Behavioral consistencies and inconsistencies, if they can be identified and documented, provide certain clues. Similarly, the critical-incident technique, or variations of it, can be used to probe for further information or to verify impressions about candidate potential. The critical incident is a significant incident, event, or happening in the life of an individual which indicates highly effective or ineffective behavior. Incidents are examined in terms of whether responses to problems encountered in previous positions are predictive of success or failure in the position for which application has been made. The selector's role in evaluating critical

²¹ The format employed in Table 7.4 is based upon an illustration by Paul Mali, "Testing and the Employment Procedure," in Joseph J. Famularo, Ed., *Handbook of Modern Personnel Administration* (New York: McGraw-Hill Book Company, 1972), 14-5.

Table 7.A. Position-Person Compatibility Profile Employed in Selection Process

Position Requirements: Rate Applicant Information As Follows: 1 = Marginal; 2 = Acceptable; 3 = Desirable				
	A	B	C	D
Sources of Information about Applicant	Ability to Change Pupil Behavior	Ability to Perform Key Duties	Personal Qualifications	Position-Related Preparation and Experience
1. Application Blank	1	1	2	3
2. Interviews				
a. Preliminary			3	2
b. Diagnostic			2	3
3. Biographical Inventory		3	1	3
4. References	1		2	2
5. Academic Transcripts			1	3
a. High School			2	3
b. College				
c. Graduate School				
6. Tests				
a. Medical		3	3	3
b. Paper-Pencil	3	3	3	2
c. Teaching Performance	3	2	2	3
7. Performance Assessment		18	18	30
8. Placement Agency Data	8	12	15	22
Total for Applicant	8	10	16	22
Standard for Position Difference	0	+ 2	+ 2	+ 8

Explanation: Column A = Ability to produce specified changes in pupil behavior.
 Column B = Ability to perform key duties: (a) planning for teaching; (b) motivating pupils; (c) developing classroom climate; (d) managing the classroom; (e) interacting with pupils; (f) evaluating pupils.
 Column C = Personal qualifications: (a) age; (b) education; (c) conceptual skills; (d) technical skills; (e) interpersonal skills; (f) work motivation; (g) emotional stability; (h) commitment to role.
 Column D = Position-related preparation and experience.

incidents is to draw inferences from the facts and predict whether the applicant will perform satisfactorily. The danger of this method is that certain incidents may be over- or under-emphasized, or that improper inferences may be drawn. One means designed to minimize judgmental errors about the meaning of information is to involve all members of the selection team when analyzing the significance of applicant information in relation to the position he seeks.

In making the decision about a candidate for a given position, Meyer suggests that the data may contain clues, as is evident in these questions:

- Does the applicant show a good record of achievement?
- Has he held responsible positions in growth situations?
- Are there sudden shifts in careers?
- Is he a transient?
- Does the resumé clearly indicate whether the candidate is currently employed?
- Does the title fully describe the applicant's role?
- Is the resumé clear about education?
- Does the candidate suffer from a self-improvement syndrome?
- Does he give a true picture of his marital history?
- What salary does he command?
- Is the resumé canned?
- Why does he want the job?

The selection decision, it should be noted, is influenced to a considerable extent by the assumptions selectors hold. This includes assumptions about achieving perfection in matching persons and positions, about the possibilities of people and positions changing after the selection process has been completed, and about the validity and reliability of the initial information gathered about a member of the system who is being considered for a change in position.

Employment Decisions and Offers

After candidates for a position in the school system have been evaluated, individual decisions must be made regarding each applicant. The

²² Paul Meyer, "How to Read a Resumé," *Duns Business Review*, 96:4 (October 1970), 48-52. For additional suggestions on appraising the applicant, see Charles E. Alberti, "A Basic Guide to Staff Selection," *Clearing House*, (January 1974), 285-288; Walter F. Hauss, "The Relationship of Preparation and Experience to Teacher Effectiveness," *Dissertation Abstracts International*, 1970, 30 (10-A), 4185; Lance N. Hodes, "The Development of an Instrument to Aid in the Selection of Effective Teachers," *Dissertation Abstracts*, 1969, 24 (10-A), 3378-3377; Homer Jess Loma, "A Study of Criteria Used in Teacher Selection Among Elementary Principals," *Dissertation Abstracts International*, 1969, 30 (2-A), 522.

decision will rest on what is known about him and on judgments about how effectively he will perform under known and unknown conditions. Decisions also need to be made about the terms of employment that should be established (Figure 7.1, steps 6, 7). It should be noted here that there are several possibilities at this point in the selection process: the system may decide to employ or reject the candidate, and the latter may decide to accept or reject the offer.

In various school systems, one employment technique is to place those individuals judged to be qualified for a position on an eligibility list. Although the definition of an eligibility list probably varies somewhat among school districts, it is generally taken to mean that those persons responsible for selecting school personnel have designated as suitable for employment applicants who have met established qualifications. The eligibility list adheres to the merit principle and provides a list of applicants, in rank order, eligible for appointment as vacancies occur.

Final selection of personnel is generally based on the merit principle, which holds that vacancies should be filled by those candidates who best meet the established qualifications. Departure from this concept sooner or later leads to a staff of inferior quality. In the struggle for excellence in public service, one of this century's greatest personnel problems has been trying to develop and control sound selection procedures. The advance from the spoils system to the modern career-service concept has not been easy. Experience indicates that unless selection from the eligibility list is carefully controlled, so that the merit principle operates, the integrity of the entire organization is threatened.

CERTIFICATION AUDIT

Before personnel nominations are made from the eligibility list, it is customary to require evidence from each candidate that he has satisfied certification or license regulations that are specified by law as being essential to the performance of a particular position. Teachers, lawyers, engineers, administrators, nurses, and doctors are usually required to have certificates to perform their functions. This stage of the selection process would appear to be an appropriate time for the school system to make certain that certification requirements have been satisfied.

NOMINATION AND APPOINTMENT

As noted earlier, the ability to sustain the integrity of the personnel program depends upon a number of conditions, one of which is the separation of policy formulation and execution. In the selection process

the chief executive should have the exclusive responsibility for making all recommendations for appointment to positions or jobs in the school system. Final approval or rejection of recommendations made by the chief executive is a responsibility of the board of education.

One of the very real difficulties in the selection process is that posed by the time factor. Many desirable candidates are lost to competing systems because of the time lag between the initial interview and the official election by the board of education. Every effort should be made to keep to a minimum the amount of time involved in selecting a candidate; it is especially important that there is no delay in notifying candidates of official appointment.

In the selection process, it is not unusual for situations to develop where the applicants considered do not meet current position requirements. A range of alternatives (which can be explored in this connection before a decision is made to offer employment or to place an individual on the eligibility list) has been identified in a research report by the Conference Board. These include: tapping other manpower sources; using different recruiting methods to locate additional prospects from the same source; hiring the applicant, but for a different job opening; rearranging other people's duties and responsibilities so as to eliminate the job either temporarily or permanently; modifying the position requirements; and providing, when necessary, specific development experiences for both minority and nonminority group members, women, and the physically handicapped, to enable them to acquire the skills to fulfill the work requirements.²³

CONTRACTS

A contractual agreement is essential before hiring is completed. By definition, a contract is an agreement between two or more people to do or not to do certain things. A teaching contract, for example, is an agreement between the board of education and the teacher that specifies the nature of the personal services that the board intends to purchase in exchange for a specified sum of money. The general elements of a contract include: (1) mutual assent (that is, offer and acceptance); (2) consideration; (3) legally competent parties; (4) subject matter not prohibited by law; (5) agreement in form required by law.²⁴

²³ The Conference Board, *Staffing Systems: Managerial and Professional Jobs* (New York: The Conference Board, 1972), 29.

²⁴ E. Edmund Reutter and Robert R. Hamilton, *The Law and Public Education* (Mineola, N.Y.: The Foundation Press, Inc., 1970), 310.

Terms of Employment. It may be useful at this point to review the relationship of contracts for school personnel to the total selection process. The contract should be viewed as a personnel tool of considerable value in furthering the career-service concept—controlling the quality of personnel who enter the school system and the profession, contributing to the security of staff members who render satisfactory service, and clarifying the terms of employment and conditions of service. Thus, the employment agreement between the individual and the organization may be conceived as a control device, one use of which is to withhold permanent tenure from probationary personnel who have proved unsatisfactory. This practice is emphasized because it has proved to be much more effective and realistic than the difficult process of dismissing unsatisfactory teachers who have gained tenure.

Before the selection process is completed, the applicant and the organization must come to an agreement on the terms of employment. This is a crucial stage of selection because it is the time when complete understanding should be reached between the two parties as to the conditions of employment. Misunderstandings frequently occur about salaries, duties, authority, office or work space, secretarial assistance, collateral benefits, overtime, and extra pay for extra work. Employment agreements made by telephone should be confirmed in writing. It is worth noting that this practice has considerable merit, regardless of the means by which agreements are made. The position guide is helpful, for example, in defining position expectations, but written contracts can help to elaborate upon and to specify in clear and understandable language the key terms of employment. Many people become disgruntled and negative in their attitude toward the organization when promises made during the selection period are not fulfilled after the position has been accepted. Therefore it is good practice, during the final stages of selection, to use a checklist containing the terms of employment offered by the school system. This checklist should be designed to ensure that the prospective employee knows the exact nature of the position and its responsibilities, the "moonlighting" policy, the compensation structure and its relationship to the applicant's paycheck, the terms of the probationary period, the collateral benefits, the terms of any union or associational contracts in force, and the provisions unique to a given position, such as status or status symbols.

Placement

The final step in the selection process is placement of the individual in the position he has been selected to occupy (Figure 7.1, step 8). The

quality of the administration of the seven preceding steps in the process will influence to a considerable extent whether a good match has been obtained between the person and the position. Through the discussion on the selection process it has been emphasized that *information* is the key to making judgments about the placement of an individual in the position. This includes learning as much as possible about the applicant and the specific position in which he will be working so that a careful judgment can be made as to their compatibility. Placing an ineffective individual in any position, or a competent person in the wrong position, often leads to years of administrative grief, low individual productivity, and interference with system goal attainment.

Tagliere states that the selection process frequently overlooks these important placement elements: *The leadership and followership styles of the applicant; the style of the person he will report to; the styles of those who will report to him (if the position is administrative); and the structure of the job situation.* These three elements are illustrated in Figure 7.3, which contains a composite set of scales on which the following discussion is focused.

Examination of Figure 7.3 indicates that the leadership style, followership style, and the job situation are each placed on a continuum. The leadership continuum, for example, represents all leadership styles, ranging from those who are inclined to retain all their power, and to structure all their followers' activities, to those who tend to share their power and impose little if any structure on their followers.

The Org pattern shown in Figure 7.4 illustrates its application to personnel placement.²⁵ Numerically, the Org pattern would be expressed as

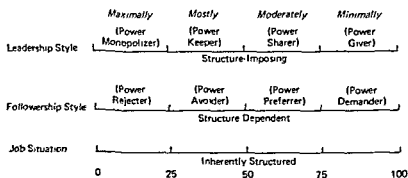


Figure 7.3. Interaction of Org elements in the placement process. Reprinted by permission of the publisher from *People, Power, and Organization* by Daniel A. Tagliere. © 1973 by AMACOM, a division of American Management Associations.

²⁵ Organalysis® refers to the reading of a pattern, such as the one illustrated in Figure 7.4.

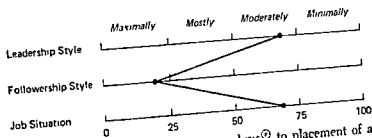


Figure 7.4. Illustrative application of Organalysis[®] to placement of a candidate in a teaching position.

70-20-70, wherein the leader is a principal, the follower is a candidate for a teaching position, and the position is considered to be generally unstructured. Placement of this particular candidate in this situation would probably lead to difficulties for the system, the leader, and the applicant, for the leader and the position are identified on the unstructured side of the continuum and the follower has a strong need for structure.

Table 7.5 is designed to illustrate the use of Organalysis[®] in the selection process, with reference to compatability of applicants with the leader and the requirements of the position. This approach contributes to strengthening the employment decision by expanding the dimensions to be considered in selecting and placing applicants.

Table 7.5. Illustration of Organalysis[®] Pattern Application in Personnel Placement*

A. Administrator to whom position-holder will report: Joseph Ordogna	Analysis	
	A. Leadership Style	B. Followership Style
B. Position Applicants: 1. Mary Lavelle 2. Joseph Oravitz 3. Heidi Schneider 4. Ferguson Jenkins	<div> <div>x</div> <div>0 25 50 75 100</div> </div>	<div> <div>x</div> <div>0 25 50 75 100</div> </div>
C. Position Title: Mathematics Teacher, Eisenhower Middle School	C. Position Situation	
	<div> <div>x</div> <div>0 25 50 75 100</div> </div>	

* Based on an illustration in Tagliere, op. cit., 77.

Control of the Selection Process

The selection process, like any other subsystem of the organization, is designed to achieve certain important aims of the school system. Like any other subsystem, the selection process should be evaluated periodically to determine whether it is accomplishing its purposes. The appraisal should be focused upon such matters as determining whether personnel perform effectively; to what extent the organization accepts or rejects applicants; how well appraisals made of candidates and predictions of performance prior to selection agree with subsequent experience; what the school's success is with probationers; whether exit interviews or other data reveal anything about the strengths or weaknesses of the selection process; and what the evidence is with regard to the sufficiency of each of the several tools used in the selection of personnel. The ultimate purpose of making an intensive analysis of the selection process is to determine how well the school system is succeeding in attracting and holding a competent staff. The evaluation should reveal what adjustments must be made in the process to make it realize organizational expectations.

Figure 7.5 illustrates a model based on an approach suggested by

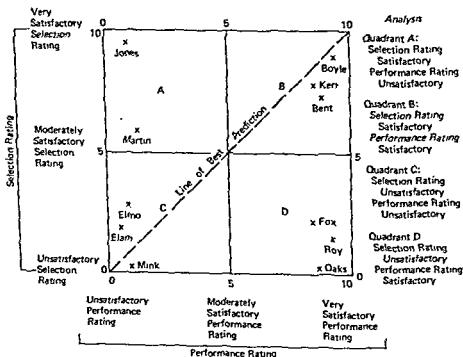


Figure 7.5. Scattergram indicating outcomes of personnel selection decisions.

Gellerman to evaluate personnel decisions.²⁸ Use of this model would make it possible to exercise greater control over the selection process. By plotting the selection and performance ratings of personnel, as shown in Figure 7.5, the outcomes of selection decisions as they are related to personnel performance can be analyzed. Further, errors in selection decisions, such as those portrayed in quadrants A and D, can be examined for underlying causes. The situation revealed in quadrant C, wherein the selection ratings were ignored and the personnel consequences developed according to prediction, is also one which merits scrutiny through the control function. In brief, the model represented by the scattergram in Figure 7.5 can be viewed as an important tool to be utilized in the control process in order to evaluate the extent to which the objectives of the selection process are being realized, and to determine what modifications are necessary to improve selection decisions.

Summary

Every organization recognizes the inevitability of personnel turnover and of vacancies created by new positions and promotions. This chapter has examined the process by which positions and people are matched in order to fulfill the manpower requirements of the school system. The basic idea behind the selection process is to organize selection activities in such a way that information about applicants can be compared to position requirements. The process may be simple or elaborate, depending upon the size of the school system, the number of vacancies, and the board's recruitment policy.

Generally speaking, most selection processes include the following steps: reception, central screening interview, completion and review of application blanks, completion of tests required by the system, decentralized interview, background investigation, selection, nomination, and appointment.

A well-organized selection process governs all actions necessary to achieve its mission, and indicates who should do what, and when. Attention to some of the important details in selection is of considerable importance both to the candidate and to the organization. The manner in which applicants are treated during the selection process has a good deal to do with the way they perceive the system and interpret these perceptions of others.

Because the selection process determines which personnel will enter

²⁸ Saul W. Gellerman, *Management by Motivation* (New York: American Management Association, 1968), 62.

the system, the central administration must give careful attention to the design and operation of the process. In doing so, it must free itself of *certain illusions, including the belief that a good selection process will eliminate personnel selection errors; that selection of people is an exact science; and that position guides and selection ratings are infallible techniques for matching people and positions.*

Induction of Personnel

Induction may be defined as a systematic organizational effort to minimize problems confronting new personnel so that they can contribute maximally to the work of the school while realizing personal and position satisfaction. A school system can recruit and select personnel, but until these individuals become fully adjusted to the work to be performed, the environment in which it is performed, and the colleagues with whom it is performed, they cannot be expected to give their best effort to attainment of the goals of the institution.

Initiation of an effective induction process is one way that the organization can contribute to personnel assimilation, as well as to the personal development, security, and need satisfaction of each member of the organization. Probably at no other time during the employment cycle does the newly appointed staff member need more consideration, guidance, and understanding than he does between the day of his appointment and the time when he becomes a self-motivated, self-directed, fully effective member of the enterprise.

One of the emotional needs of every employed individual is an organization environment in which he can find a reasonable degree of security and satisfaction. The beginning school employee is no exception. He is apprehensive of many things—the community, his co-workers, his ability to succeed. He is generally unaware of “the way we do things here.” He is probably uninformed about school objectives, specific duties and responsibilities, school and community traditions and taboos, and the personal and position standards to which he is expected to adhere. Voluntary resignations in school systems are known to occur during the probationary period. One of the causes to which this problem can be attributed is the absence of well-planned induction practices. The variety of adjustments new staff members need to make before they are totally assimilated into the organization is extensive, and they are important enough to warrant administrative efforts to assist them through well-planned induction programs. It is clear, for example, that the number of first-year teachers who leave the profession is higher than it ought to be, and that the loss is higher than the profession ought to sustain. It is also true that personnel turnover represents an economic loss to the

school system. The investment in recruiting, selecting, inducting, and supervising new personnel is dissipated when they leave the system voluntarily. One of the aims of the induction process is to minimize this drain on the school system's financial and human resources.

To say that school systems have not been or are not now concerned with the problems of the inductee would be a misstatement; many excellent programs are in operation. However, it is probably fair to say that for some school systems, the approaches to induction have not been developed through systematic planning. It is to planning, organizing, directing, and controlling the induction process that consideration is directed in this chapter. These include an analysis of the range of induction problems, as well as the design of an induction process aimed at their solution.

The terms *induction*, *placement*, and *orientation*, often used synonymously in the literature dealing with personnel administration, mean the process by which newly appointed personnel are assisted in meeting their need for security, belonging, status, information, and direction in both the position and organizational environment. The process is conceived as beginning in the recruitment stage and ending when the inductee has made the necessary personal, position, organizational, and social adaptations that enable him to function fully and effectively as a member of the school staff. It involves more than plans for making new personnel feel at ease in an unfamiliar environment. The induction process, in its broadest sense, is an extension of the recruitment and selection processes (in which administrative efforts are designed to match the person and the position). A corollary objective of the induction process is to enable the person to achieve position satisfaction. In addition, the process should help to utilize fully the satisfactions and abilities of the person for attaining the goals of the educational program.

Nature and Scope of the Induction Process

Figure 8.1 represents a conceptualization of the induction process. Examination of this figure will show that the steps envisioned in the process include activities normally associated with any administrative endeavor—planning, organizing, leading, and controlling. An additional observation should be made about Figure 8.1: the induction process represents another of the components or subsystems of the personnel function; it is linked to other subsystems within and outside of the personnel sector; and it is woven into the total configuration of the school system.

Although we encounter the various steps outlined in Figure 8.1 in

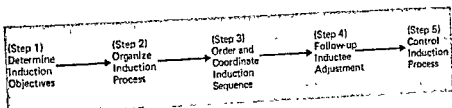


Figure 8.1. Model of the induction process.

more detail in the discussion which follows, the following questions have been framed to illustrate the kinds of decisions that confront administrators as they plan for the assimilation of personnel into the school system:

- What does the school system expect to achieve through the induction process? What should happen to the *institution* as a result of the induction process? What should happen to the *inductee* as a result of the process?
- What types of activities are needed to achieve the expectations of the induction process? How will the induction activities be split up into organizational assignments? How will the separate assignments be integrated so that purposeful action will result?
- Which induction activities will be assigned to the central administration of the school system? Which to the local school attendance units?
- How should induction activities be phased? What actions should be taken: prior to appointment? before the employee has reported for work? before work begins? during the probationary period? And who does what during each of the phases of the induction cycle?
- What controls should be exercised to make the induction process conform to plan? What kinds of appraisals are necessary to determine the effectiveness of the induction process?

We can get at the heart of most induction problems by focusing on the foregoing questions. How a school system puts to use, in actual practice, the concepts suggested in the questions and in the outline shown in Figure 8.1 is what we shall consider in detail in the following sections.

Determining the Goals of the Induction Process

What does the school system expect the induction process to accomplish? This question focuses upon one of the primary elements of planning—deciding what should be achieved. The purpose of the process is to facilitate adjustment of new personnel to the work environment in

which they render service to the school system. This statement will have little significance for people who plan the process or for those responsible for its implementation unless it is translated into more specific objectives (the first step in the induction process outlined in Figure 8.1). An elaboration of objectives of the induction process follows.

Information. The process should enable every newly appointed staff member, from caretaker to chief executive, to be fully informed about the community; about duties, relationships, and responsibilities of the position; about characteristics of the school system (purposes, policies, procedures, personnel, customs, history); and about the building unit to which the inductee will be assigned. One of the major expectations of induction is that newly appointed personnel will be furnished with whatever information is necessary to facilitate their adjustment.

Need Satisfaction. Induction should result in a feeling on the part of the new appointee that he is an integral part of the school and the community it serves. The process should facilitate identification of the individual with the organization. The needs of new personnel for belonging, for security, and for recognition should be anticipated.

Position Compatibility. Effective performance of individuals is a long-term consequence of induction. Hence, efforts should continue throughout the probationary period in order to determine the extent to which the man and the position are compatible, and to determine whether the school system should accept the individual as a permanent member of the school staff.

Assistance. The induction process should provide technical assistance to new personnel. Whether to help in understanding goals or in developing attitudes and skills, there should be plans to eliminate the possibility of individual failure or maladjustment because of the absence of supervision during the adjustment period.

Support. The induction process should be able to utilize fully all system resources, both human and material, in helping the inductee to reach a satisfactory level of performance.

Development. Position satisfaction and growth in ability of new personnel to be self-directing are legitimate and practical ends of induction. The induction process should contribute to position satisfaction and to increasing the ability of the inductee to perform at a level of efficiency which lessens the need for supervision.

Acceptance. Organizational receptivity to new personnel is another end toward which efforts of induction should be directed. Providing information about the inductee to his colleagues (his assignment, status, and title, for example) is one means of allaying the fear, suspicion, aversion, and insecurity members may have about newcomers.

Assimilation. Acceptance of the school system by the inductee should also result from the induction process. A positive attitude toward the system, its purposes, policies, procedures, and personnel is a condition which the organization seeks to nurture during the induction period. A carefully planned induction process should minimize difficulties individuals have in meeting the expectations of the organization.

Adjustment. Expedient individual adjustment to the working environment is a condition every system should expect to realize for its personnel. The sooner the new employee can adapt his habits, attitudes, feelings, and knowledge to the work for which he is employed, the sooner he and the school system will benefit. Human maladjustment is expensive, detrimental to the satisfaction of individual and organizational expectations, and harmful to the socializing and personalizing processes that take place between the individual and the system.

Orientation. Orientation of new members to the school system is needed, with or without an induction program. The risk of having the inductee receive information solely from colleagues is one the system cannot afford to take. The views of colleagues about the system vary greatly. The individual staff member with a grievance may present a picture of the system that is not in keeping with reality, one which may create negative impressions and harmful misconceptions. Therefore, an appropriate organization goal is the proper orientation to provide the member. It is in the best interest of the organization to provide the newcomer with firsthand facts, with credible information about system conditions, and with other knowledge that may be required to effect his integration with the organization.

Retention. The interests of the system regarding the newcomer extend beyond the immediate activities involved in the induction process. For every newly employed individual, a positive attitude toward the system should be developed, one that will endure throughout a career period. This is an ultimate system objective. Other organization interests should be in having the individual remain in the system and to become an effective operant in the position to which he is assigned; to work independently; to engage in self-development; and to exceed role expectations through innovative and spontaneous behavior. These are long-term

system objectives for which the foundations can be laid during the induction process.

Security. Knowledge about the induction process indicates that (1) turnover tends to occur primarily during the early period of employment; (2) membership turnover often engenders hostility and resistance within the system, particularly if a replacement in a position of authority represents the force of change; (3) change within a social system generally tends to be viewed unfavorably, particularly where membership change affects the stability and relationships within a group; (4) haphazard induction procedures can precipitate anxiety, discouragement, disillusionment, or defensive behavior; (5) security, belonging, esteem, and information problems of new personnel can be minimized during the induction period; and (6) frustrations develop when newly employed personnel discover inconsistencies between the realities of organizational life and their expectations and values at the time of employment. The objectives of the induction process, then, need to be focused upon minimizing the difficulties that a change in membership poses, for both the existing personnel and for the individuals about to enter the system.

Continuity. An important aim in the induction process is to provide information that was not fully covered during the recruitment and selection processes. The individual recruiter, for example, may not have been capable of explaining to the recruit all of the ramifications involved in a given position assignment. The administrator to whom a newcomer is assigned will need to do whatever remains to be done in order for the latter to make a full adjustment to system life.

In sum, the induction period, which begins with recruitment and ends when the inductee becomes a permanent member of the school staff, offers numerous opportunities for the system to realize its aims. This is done by creating for the new personnel conditions and processes conducive to their voluntary cooperation in the organization's quest to secure better educational opportunities for its clients.

Organization of the Induction Process

As noted earlier, organization of the induction process (Figure 8.1, step 2) consists of dividing and grouping induction activities homogeneously and establishing relationships between the individuals responsible for performing the various functions connected with induction. This section deals first with the problems of induction around which activities

are organized, then with the matter of who does what in initiating and maintaining the induction process.

INDUCTION PROBLEMS

The growing interest in the induction problems of school personnel is reflected in the increasing amount of literature devoted to the subject. During the last several decades, various investigations have scored the absence of systematic induction programs. The point is frequently made that the concept of planning for induction of new personnel is neither widely understood nor accepted, and that its applications are not widely practiced. Problems experienced by personnel newly appointed to school positions, as revealed in the literature dealing with the subject, may be listed summarily as follows.

- Problems in becoming acquainted with and making adjustments in the *community*.
- Problems involved in becoming knowledgeable about the *school system*, its aims, policies, programs, procedures, controls, resources, customs, values, personnel, and history.
- Problems in becoming acquainted with the *position*. For teachers, this would include curricula, courses of study, pupil personnel, parents, pupil services, and learning resources. For service personnel, the physical location of the position, the reporting relationship, tools, supplies and equipment, and the nature and expectations of the assignment are examples of matters of concern.
- Problems in getting to know *personnel* in the system.
- Problems of a *personal* nature, such as locating suitable living accommodations, banking, shopping, health, and transportation facilities.

Many of the difficulties of first-year teachers, such as those mentioned, have been attributed to faulty programs of induction. The discussion that follows is designed to elaborate upon the nature of the foregoing induction problems.

COMMUNITY ADJUSTMENT

It is an article of faith among educators that the community is an important conditioner of educational quality. An interesting paradox, however, is that studies of teacher induction point out consistently that the means employed to inform prospective or newly appointed teachers about

the community, or to help them make adjustments therein, generally are less than satisfactory. As a matter of fact, the incidence of difficulties experienced by teachers in securing information about the community, and in making adjustments to it, is serious enough to reinforce the contention that, administratively, much more can and should be done to help inductees become fully acquainted with the community structure and characteristics. If the relationship of the community to the school is as strategic as it is purported to be, then it would appear that the system should develop plans to help the school staff, especially newly appointed members, in understanding the community and its effect upon the school.

The inductee, for example, needs a variety of specific kinds of information, not only for making adjustments in the community, but for helping him to fulfill his role as an educator. Information on such matters as community geography, economy, housing, government, religious agencies, educational resources, law enforcement agencies, public safety, health conditions, medical resources, recreation facilities, child care and family welfare agencies, racial minorities, foreign-born population, and community planning resources is needed by the beginning teacher to help him adjust to new surroundings.

The school has an important responsibility to raise the level of public understanding of education. The school also shares in the responsibility for community improvement. What the school staff contributes to these ends depends to a large extent upon staff understanding of the community. The induction process ideally provides the administration with favorable opportunities for helping the newcomer to become adjusted to the community, for acquainting him with avenues therein through which he can achieve his personal objectives, and for demonstrating how community resources can be employed to contribute to the betterment of the school system.

POSITION ADJUSTMENT

Indications are that newly appointed personnel experience difficulties in understanding their assignments, and many of these problems are related to lack of a clear and workable conception of the school's mission and its goals. These difficulties also indicate a lack of knowledge about using the special services provided for children by the system. It is manifest that the position the new employee is to assume is of paramount importance in determining what his information needs will be. The value of position guides in helping him become acquainted with his assignment and its relationships should be noted at this point. Position guides should not only prevent applicants from accepting positions for which they are unqualified; they should provide information to those responsible for

the selection of personnel so that the task of matching candidates and positions can be performed more effectively. The new inductee's immediate supervisor, with the aid of position guides, should be able to describe to the probationer the purposes and organizational expectations of the position, and should also be able to appraise his performance on the basis of the duties and responsibilities specified in the position guide.

SCHOOL SYSTEM ADJUSTMENT

Every organization faces the problem of informing its members of its purposes, policies, and procedures. The newly appointed staff member wants to know, for example, what the total operation is and how he fits into it. Newly inducted personnel need to know not only the essential components of the school system, but how the parts interact in contributing to the success (goal attainment) of the whole. The system is largely responsible for seeing that personnel receive this information.

An important part of the individual's adjustment to the system is his awareness of the specific expectations of his role. Customs associated with the role, rules that affect position performance, and the degree of autonomy permissible in fulfilling the role are the kinds of information needed by an individual to enable him to fit easily and promptly into the work pattern relating to the position.

Inductees often encounter difficulties in the socialization process which takes place between the individual and the organization. Schools may have unique belief systems that conflict with those held by new members of the staff. The opinions individual teachers have on academic freedom, the teaching of controversial issues, the role of the teacher as a citizen, the selection of reading matter, student behavior and appearance, and student discipline may differ considerably from the system's official values and objectives. To a certain extent, every school system seeks to assimilate new personnel by orienting them to its unique values, traditions, customs, beliefs, and goals. Whether staff members will accept or reject the school's value system, in whole or in part, is not assured. But an awareness of the values prevailing in the organization is essential if the inductee is to adjust effectively during the period when he is being considered for permanent membership in the institution.

ADJUSTMENT TO INDIVIDUALS AND GROUPS

Because the work of the school is carried on by and through people, the matter of developing effective interpersonal relations becomes especially important to the individual who is new to the system. This means

that the newcomer, to be successful in satisfying his needs, must understand the behavior of people with whom he works, both as *individuals* and as *members of groups*. It means also that he must acquire skills to enable him to work effectively with individuals and groups. He must learn, for example, which members are most influential in informal groups, the attitudes of his colleagues toward the organization, the nature of social groups with which he will be involved, and he must understand that pressures to conform to group standards can be anticipated from these groups. The function of the induction process in this regard is to facilitate integration of the individual with work and social groups in which he is likely to participate. A good deal of what the individual learns about the community, the culture and subcultures of the system, the formal and informal groups within the system, the power structures, and the position expectations will be from other individuals and groups. Consequently, the extent to which the new employee satisfies his needs, achieves high productivity, and identifies with the system is to a considerable degree dependent on system efforts to promote communication bonds between staff members and new personnel.

PERSONAL ADJUSTMENT

Personal problems outside the actual school assignment merit attention at this point. These are problems experienced by every newcomer—locating suitable living accommodations; arranging transportation; finding educational, religious, cultural, banking, shopping, and recreational facilities; and numerous other details that must be attended to in the process of adjusting to the new environment. The ease with which the individual is able to cope with these problems is of concern to the administration. It is of concern because complete adjustment to the new role is not likely to be effected until anxieties involved in getting established are relieved.

It would be unrealistic to assume that the institution could or should help the individual to solve all of the many problems he will encounter in the process of being inducted into the school system. Many personal difficulties and conflicts must be resolved by the inductee himself. But the school can help by a planned program of induction that will *minimize* the kinds of dilemmas that newly appointed personnel are likely to encounter. This program, the nature of which will be discussed subsequently, is necessary to improve personnel performance by aiding in the emotional adjustment with which every new person is confronted. Such a program can also contribute to the improvement of performance by providing assistance to enable personnel to become increasingly secure in their environment and progressively independent of administrative

counsel and direction. A major goal of the program is individual self-direction.

ALLOCATION OF INDUCTION RESPONSIBILITIES

Now that the goals of the induction process have been established and that problems experienced by personnel in adjusting to the school system have been identified, it is evident that various activities will have to be initiated, organized into assignments, and coordinated. Brief discussions of each of the major functionaries to whom induction responsibilities are allocated follow.

Board of Education. The purposes for which boards of education exist are essentially long range. They include the formulation and formalization of organizational expectations, major plans, and policies. The planning activities in which boards of education engage in relation to induction should focus on *policies* relating to the operation and support of the induction process. The board is relatively detached from day-to-day induction problems.

Chief Executive. The superintendent of schools wears several hats in relation to the induction program. The first role is that of the *advocate*, who suggests what induction goals should be established and what plans should be made to accomplish the goals. The second role is that of the *implementer*, who puts into effect board-approved plans and policies. The third role is that of the *appraiser*, who determines how well the induction process conforms to plan. The fourth role is that of the *adjuster*, who recommends and takes corrective action.

Personnel Director. Central coordination of the induction process is essential if its aims are to be realized. This means that the task of administering the induction process is usually delegated to an assistant superintendent for personnel or to an executive in the central administration charged with systemwide responsibility for the personnel function. The role of the central personnel office depends upon system size, turnover rate, staff resources, and the intent of the board of education with respect to induction of new personnel. Large school systems, where induction is a continuous activity, often develop programs based upon group meetings. Small school systems may find it feasible to give much more personal attention to individual inductees. The role of the central office, regardless of the size of the system, is to develop, initiate, and coordinate detailed plans for the induction process. These plans include

the education of principals, committees, supervisors, and community personnel concerning their respective induction roles.

Administrative Personnel. A major responsibility for the success of the induction process is the province of the administrator in charge of the operating unit to which the inductee is assigned. When Susan Smith, the new teacher, is appointed to teach in the kindergarten of the Belmont School, it is the principal with whom Miss Smith will have the most direct contact during the initial stages of induction. He or she is responsible for helping Miss Smith make day-to-day adjustments to purposes, position, plans, and people. The principal is in the best position to understand the feelings and problems of new personnel as the process of induction progresses, and has the best opportunity to become acquainted with the day-to-day socialization of employees. As unit head, he or she makes Miss Smith aware of the standards of performance and how they will be applied. In sum, the brunt of the actual work involved in induction will fall upon the heads of operating units within the school system.

Ordering and Coordinating the Induction Sequence

The third step in the induction process (Figure 8.1) involves the linkage stages, which we will refer to as the *individual induction sequence*. This step is conceptualized in Figure 8.2 to illustrate the sequence of induction activities that are continually in operation in the school system. The success of this step in the induction process requires a conviction on the part of the board of education and the school staff that these induction activities are important, and that they often mean the difference between success or failure in retaining competent personnel. Success also requires that the staff and the board be convinced that the induction process is a continuing planning responsibility. Planning decisions include those relating to the kinds of activities to be initiated to achieve the results desired, the time sequence of the activities, and a definition of the responsibilities for carrying out specific plans.

The scope of activities in the induction cycle will be determined by a number of factors, including past experience in personnel replacements, anticipated need for new staff members, nature of the community, and size of the school staff. Induction problems will vary from one school system to another. The type of program developed for a given institution will be the result of a balanced judgment arrived at by giving due consideration to factors such as those mentioned.

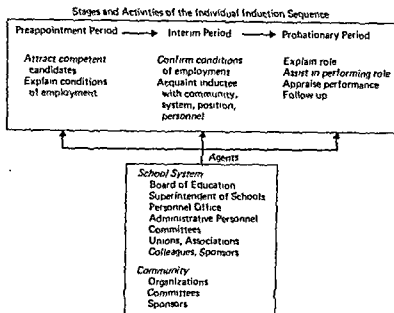


Figure 8.2. Linkage of stages, agents, and activities of the individual induction sequence.

As noted earlier, the induction process properly begins during recruitment and generally terminates upon completion of the probationary period. During this timespan, different types of induction activities are needed to serve specific purposes. The three phases of the induction cycle consist of the *preappointment period*, *interim period*, and *probationary period*. In each of these phases of induction different types of activities are initiated by various agents and groups from within and outside the system. These include lay, professional, and advisory committees; community organizations; unions and personnel associations; the board of education; and administrative personnel. Whatever the nature of the organization designed to implement induction activities, coordination by the central administration is essential to enable the new appointee to understand clearly the duties, responsibilities, and relationships of the assignment; become acquainted with the community, the school system, and the school staff; develop the level of competence that the organization anticipates; make personal, social, and position adjustments; and deal more effectively with conditions conducive to security and satisfaction. Figure 8.2 also illustrates the relationship among agents, activities, and stages of the induction process. Each of the three phases of the process will be discussed in terms of its relationship to the activities to be initiated and the results anticipated.

PREAPPOINTMENT PERIOD

The induction cycle properly begins before the initial contact between the institution and the applicant. Whenever a vacancy is anticipated, and the school system announces its intention to fill the position, a position guide, containing person and position specifications, should be prepared in order to give direction to those responsible for recruitment and selection; to make clear to the applicant the qualifications, duties, and responsibilities of the position; and to enable placement agencies and recruiters to locate candidates who can meet position requirements. Clarification of the requirements of the position is suggested as a first step in the induction cycle because neither the interests of the school nor those of the applicant will be served if there is ambiguity about the role to be played, or if the nature and qualifications of the role are misrepresented. In addition to providing position guides, it is the practice of some school systems to prepare brochures for applicants in order to acquaint them with the characteristics of the community and the school system.

The initial interview between the recruiter and the applicant provides an opportunity to furnish the latter with a variety of information he is likely to need in making a decision to accept or reject the position. Moreover, during the interview the individual is able to clarify with the interviewer any questions he has about the position or to secure information on a range of relevant matters of interest to him.

There are a number of advantages in having the interview in the school system. A system-based interview enables the candidate to meet with administrative officials and school personnel and to visit the community. If this procedure is followed, and efforts are made to furnish pertinent information needed by the candidate, a major step will have been taken to satisfy the primary goal of the first phase of the individual induction sequence—fully informing the applicant about the position, the conditions of employment, and the school and community environments in which the work is performed.

THE INTERIM INDUCTION PERIOD

The realities of formal appointment to a position in the school system pose problems for both the individual and the institution, problems that are different from those confronting either prior to this juncture. The plan of assistance to inductees, from the time of appointment until the first day on the job, will differ somewhat among the various personnel categories. Induction activities for teachers, for example, should not be the same as those designed for secretarial or custodial personnel. Illustrated in the following list are some of the preliminary steps that are planned

and initiated by the personnel office to assist Miss Mary Martin a teacher assigned to the Stevens School, in making various types of adjustments.

- Letters of welcome are sent by the board of education, the superintendent of schools, and the local teachers' association.
- An experienced teacher is assigned to serve as a sponsor to the new teacher.
- A brochure is prepared for teacher sponsors, explaining the aims of the induction program and the responsibilities of sponsors.
- A preliminary conference is held between sponsors and principal.
- A conference between principal and the new appointee is held to discuss the teaching assignment. The principal avoids the tendency to assign to the new teacher a heavy teaching load, students with behavior problems, or any unusual duties which make it difficult for the beginner to achieve a measure of success in the first year. The practice of making assignments, whenever possible, on the basis of teacher preference, and of reducing the work load of the inexperienced teacher during the first year, is commendable.
- Copies of the school handbook are furnished to the beginning teacher, as well as a selected inventory of living quarters.
- Conditions of employment are confirmed. The organization makes certain that Miss Martin understands salary, collateral benefits, extra pay, merit, and other facets of the compensation structure.¹

These activities highlight the importance of the individual induction sequence. It is sound planning to initiate the sequence prior to the time the individual assumes his responsibilities. Elimination of some of the problems of newly appointed personnel before the first work day facilitates an earlier realization of their full service potential.

The induction checklist is an effective tool to assist heads of work units in a school system—such as principals, directors, supervisors, and division administrators—in making the induction activities effective. Different lists are prepared for the various personnel categories, the intent of which is to systematize the induction activities that will be undertaken by administrators for persons newly assigned to their jurisdiction. Such lists are used so that all the activities in the individual induction sequence will be given attention.

Before our hypothetical teacher, Miss Martin, actually meets her class for the first time, she may also be exposed to induction activities such as the following.

¹ For extensive illustrations of induction forms relating to an employment offer, physical examinations, contracts, housing, moving, and travel, preemployment checklist, and payroll authorization, see Elizabeth Marting, Ed., *AMA Book of Employment Forms* (New York: American Management Association, 1967).

Preopening Conference. The preopening conference technique, which may assume a variety of forms, is almost universally employed in school systems. It provides opportunities to acquaint new personnel with members of the school staff and with plans and procedures that have been established to operate the educational program. Some conferences involve the entire school staff; some are restricted to the building staff; and some are designed specifically for new personnel.

The building principal is responsible for helping Miss Martin to adjust readily to her teaching assignment. Assistance may include interpreting plans for the coming year, including those for appraising teacher performance and evaluating pupil progress; acquainting her with physical facilities, teaching resources, records, pupil and teacher services; and explaining general school policies and office routines.

Because the work of the school and the work of the individual teacher are inevitably related to the life of the community, and because school personnel are in fact members of the community by virtue of their function, an investment of time and effort in assuring Miss Martin's acceptance into the life of the community is important. Group conferences with parents of children assigned to Miss Martin, receptions by the board of education, and other social activities will help to facilitate her transition into the new environment.

It is not suggested that the induction activities listed are exhaustive, or that a given sequence of activities will suffice in all situations. The wide range of induction problems with which different school districts are confronted rule out from this discussion a prescribed program. Each district can best achieve the goals of the induction process by developing and assessing the techniques and activities most effective for their situation.

Figures 8.3 and 8.4 have been included to lend specificity to the foregoing suggestions. These forms illustrate a three-part induction plan for the time prior to the newcomer's actually assuming his role. This is the substance of the plan:

- Sessions 1 and 2 are *central administration* responsibilities. The intent is to explain the organization and administration of the system-wide personnel policies and procedures applicable to new members.
- Session 3 is position and unit oriented. The intent is to acquaint the individual with the role for which he will be responsible, and to introduce him to colleagues with whom he will work. Responsibility for this session is delegated to the administrator of the unit in which the position is located.
- Copies of the forms are furnished to all inductees to acquaint them with the nature and scope of the conditions of employment, the constraints that govern, and the opportunities that will become available in role performance.

will need considerable counseling and coaching in matters not directly related to system direction and control.

Follow-up of Inductee Adjustment

THE PROBATIONARY PERIOD

The responsibility for new personnel does not terminate with the opening of school. The dimensions of the induction concept range from recruitment to tenure. Recruitment can improve the quality of applicants. The selection process attempts to match the man to the position. But until the appointee has had an opportunity to demonstrate his ability under actual conditions, and the school organization has had an opportunity to appraise the suitability of the beginner for the position, the appointment cannot be considered final. It is for this reason that a probationary period for all personnel on the payroll of the system is becoming increasingly a matter of public school policy.

It is a fact that no inductee comes to the position ready to perform his new assignment flawlessly. It is also a fact that the best selection process is fallible. Administration cannot ignore its responsibility for planning and administering a follow-up program (Figure 8.1, step 4). Whatever the nature of the new appointee's assignment, follow-up visits and interviews by the unit head are essential, especially during the first few weeks following employment. The timing of such assistance is important because the inductee may have trouble in understanding his assignment, or he may have difficulty in performing it.

A well-developed induction process specifies such matters as the number, frequency, nature, and phasing of follow-up interviews. In addition, follow-up reports are submitted by the operating head to the central administration, which appraises such characteristics as the quality of performance, difficulties encountered, and other factors deemed important to position effectiveness.

Appraisal during the probationary period, as a phase of the total appraisal process, is designed not only to assist the competent, but to spot the potentially incompetent, marginal, or undesirable probationer. Those individuals who are not able to perform satisfactorily in one position may be reassigned, given more personal supervision, and provided with intensified training opportunities to overcome deficiencies. Prompt rehabilitation or elimination of appointees who are clearly unsuitable for roles to which they have been assigned will save money, time, and effort for the school system. The damages suffered by children constantly exposed to poor teaching are incalculable.

Name of Inductee _____ Organizational Unit _____ Position _____		
Adjustment Progress and Problems	Analysis by Unit Administrator	Analysis by Inductee
<p>What progress has been made by the inductee during the review period in making the following adjustments:</p> <ul style="list-style-type: none"> a. Community adjustment? b. Position adjustment? c. System adjustment? d. Individual and group adjustment? e. Personal adjustment? <p>What are the obstacles to achieving adjustment expectations in the areas listed above?</p> <p>What comments should be made on the results achieved for each of the adjustments listed above?</p> <p>In what areas has the inductee made the most progress in adjustment? The least progress?</p> <p>Do the adjustment expectations need to be revised?</p> <p>What are the plans and priorities for achieving adjustment expectations?</p>		
Signature of Inductee _____		
Signature of Unit Administrator _____		
Date of Review _____ Next Review Period _____		

Figure 8.6. Form for performance review of probationary personnel by unit administrator.

probationary period. The information provided through its use forms the basis for counseling and coaching discussions during follow-up sessions between the inductee and the unit head. In addition, the information becomes a component of both the inductee's personnel file as well as the personnel inventory.

Controlling the Induction Process

Follow-up on new personnel by the system is essential for a variety of reasons. Investment in recruiting, selecting, and inducting new personnel is considerable. The loss the school district suffers cannot be ignored

when the probationer's service is terminated or when he separates himself from the organization voluntarily. Because the school system also has its responsibilities during the probationary period, an appraisal of the induction process is essential.

In theory, the recruitment, selection, and induction processes should result in the attraction and retention of the number, kinds, and quality of personnel needed by the school system. Periodic appraisal of the actual results (Figure 8.1, step 5) derived from these three processes should minimize those turnover costs stemming from faulty recruitment, selection, and placement. Such appraisal will provide information on personnel need satisfaction; position compatibility, attitude of the operating head toward the effectiveness of the employment transaction, and validity of the recruitment, selection, and induction processes. If and when these processes do not lead to the desired results, corrective action can be taken.

The control process just referred to involves elicitation of information from the inductee about the quality of the induction experiences to which he or she was exposed. These are matters on which the system needs feedback in order to modify the program as it evolves over time: attitudes of inductees toward the system, their judgments about the effectiveness of the induction sessions, their opinions of the balance given to induction topics, their understanding of system personnel policies and procedures following the induction program, their impressions about the value of a career in the system, and their perceptions as to those aspects of the program that were most helpful in adjusting to the assignment.

Although induction is commonly thought of as an activity focused upon personnel new to the system, it can also be construed as a career-long activity designed to keep all personnel abreast, periodically, of changes in organizational plans and policies, changes in position function and technology, and—of vital concern to all members—changes in personnel policies and procedures.

Summary

In this chapter, the analysis of personnel induction problems suggests that the initiation of an effective induction process is one way that the school system can contribute to the assimilation of new members, as well as to their personal development, security, and need satisfaction. A school system can recruit and select personnel, but until the newly appointed member becomes fully cognizant of and adjusted to the work to be performed, the environment in which he will function, and the colleagues with whom he will be associated, he cannot be expected to contribute

most efficiently to the realization of organizational expectations. In short, an induction process is needed in the school system to assist newly appointed personnel to resolve the community, system, position, human, and personal problems with which they are confronted. Use of this process indicates a recognition of, and an attempt to do something about, the fact that human maladjustment is expensive, detrimental to the satisfaction of individual and organizational expectations, and harmful to the socializing and personalizing processes that take place between the individual and the system. Also, inherent in the process is the assumption that the main determinant of motivation is the attraction the position holds for the individual; and that induction activities are designed to enhance the potentialities for motivated action that will result in more effective role performance.

PART IV

Appraisal, Development, Compensation, and Collective Negotiations Processes

Appraisal of Personnel

In the preceding discussion of personnel processes we were concerned with attracting competent individuals to work for the school system. In Part IV, we continue the discussion with an examination of three major processes—performance appraisal, compensation, and collective negotiations. The processes are grouped together because of their interdependence.

This chapter and those following are concerned with the development and retention of personnel after they have been employed. The section immediately following deals first with performance appraisal in historical perspective, in order to illustrate the impermanence of organizational solutions to the problem of appraising the performance of human beings. Then it examines major forces impelling changes in school organizations, and the appraisal systems the schools employ. In the second section, the relationship between performance appraisal and educational administration is brought into focus, and in the final section, attention is devoted to the changing concepts of personnel performance appraisal. Thus, Chapter 9 is organized to emphasize the organizational and human significance of performance appraisal; and the forces, factors, and conditions at work to modify various facets of the process. We will also show how this task fits into the larger problem of understanding and coping with human problems in an organizational setting. Although in later chapters we will deal extensively with the personnel processes essential to growth, character, and perpetuation of the school system, it should be noted that these are destined to be fruitless unless individual members of the staff perform effectively the services for which they have been hired. The appraisal process is designed to facilitate such individual performance and to foster self-development.

Performance Appraisal in Historical Perspective

Performance appraisal may be defined as the process of arriving at judgments about an individual's past or present performance, against

the background of his work environment, and about his future potential for an organization. The appraisal process is an administrative activity designed to assist personnel achieve individual as well as organizational goals.

It has long been an accepted proposition that the appraisal of human performance is an activity essential to the well-being of society. Performance appraisal is commonplace in everyday living. A professional baseball player's ability is judged by his batting average; a quarterback's by the number of pass completions. Salesmen are paid on the basis of the number of products or services they sell, and so on. During their lifetimes, few people escape having their vocational performance judged. Seldom do people question the need for appraising individual performance. The real problem is to develop and improve valid appraisal procedures and to create greater understanding of the purposes and limitations of performance appraisal so that results derived from its application will not be misused.

The growth of formal organizations and the recognition of their critical importance to a complex society have brought about the need for formal and systematic approaches to performance appraisal. In the first several decades of the twentieth century, criticism of casual, haphazard, unsystematic, highly personalized, and esoteric plans for judging the worth of individuals to organizations brought about a wide variety of efforts to reform performance appraisal plans. These included federal and state civil service legislation governing the rating of personnel, such as the Federal Civil Service Classification Act of 1923, the Taft-Hartley Labor Act of 1947, the more recent Fair Labor Standards Act of 1963, and the Civil Rights Act of 1964. The quest for ways of eliminating favoritism, seniority, and inequitable treatment in compensation plans led to a multitude of rating programs within and outside of government organizations. These plans are referred to as *traditional approaches*¹ to performance appraisal. The traditional plans, for the most part, were psychometrically oriented, and consisted of appraisals of personality traits or preconceived characteristics that were deemed essential to the role an individual performed in the organization.

TRADITIONAL APPRAISAL SYSTEMS

Traditional or conventional appraisal systems embrace a wide variety of approaches, including ranking, man-to-man comparison, grading, graphic scales, checklists, forced-choice methods, and critical incident

¹ Terminology used to describe traditional appraisal plans include *merit rating*, *efficiency rating*, *employee rating*.

techniques. In the field of education, a host of traditional techniques have been and still are employed to appraise the professional performance of school personnel. These include self-rating, ratings by pupils, school administrators, supervisors, colleagues, special committees, outside professionals, lay citizens. Some plans based appraisal on the character of instruction, personal characteristics, cumulative personnel record information, changes in pupil behavior, classroom social climate, and written responses (questionnaires and examinations).

Weaknesses in the traditional appraisal systems, after nearly a half-century of experience, appeared to be legion. Criticisms include the following.

- Appraisals are focused upon personality of an individual rather than upon what he is expected to do, or upon results achieved.
- Most administrators are not qualified to assess the personality of an individual.
- Appraisal tools lack validity.
- Raters display biases.
- Ratings and raters are subject to organizational influence.
- The appraisal system does not apply to all personnel.
- Results of appraisal are not utilized to assist individual development.
- Appraisees are fragmented into personality parts, which, when added together, do not reflect the whole person.
- Appraisal devices do not provide administrators with effective counseling tools.
- Most plans do not establish organizational expectations for individuals occupying specific positions.
- Appraisals are arbitrary or unjust when used for discipline, salary increases, promotion, or dismissal.
- Personnel do not understand criteria upon which their performance is appraised.
- Performance is not evaluated in terms of its contribution to enterprise goals.
- Traditional appraisal procedures hamper effective communication between appraiser and appraisee. Heavy reliance by appraiser on feelings instead of facts generates defensive behavior on part of appraisee.
- Appraisal methodology does not provide an environment conducive to change in individual behavior.
- Appraisal methodology does not encourage satisfaction of higher-level needs of individuals, such as self-expression, creativity, and individualism.

Most traditional performance appraisal plans in the first half of the twentieth century were devoted to nonadministrative personnel. Their

primary purpose seems to have been to link the organizational value of an individual's effort to the size of his paycheck. The paucity of plans for appraising administrative personnel in the field of education was noted in a 1968 report by the Education Research Service.² According to the report, only 45 plans, some quite informal, were finally identified in 1964, after a two-year search. By 1968, however, the report indicates a growing trend toward evaluating administrative personnel in education.

Research on instructional personnel, on the other hand, has been extensive. In 1960, Biddle noted that 10,000 studies had been reported dealing with the relationship between the characteristics of teachers, teacher behavior, and educational goals. Biddle observed that few if any facts seem to have been established concerning teacher effectiveness, no approved method of measuring competencies had been accepted, and no methods of promoting teacher adequacy had been widely accepted.³ Travers, in 1973, also points to the lack of progress in research on teacher effectiveness, despite the large sums of money invested in this activity by the federal government.⁴

A review of the history of performance appraisal within and outside of school systems leads to the following observations:

- For more than half a century organizations have been experimenting with performance appraisal of various types. From this experience, about the only consensus that has developed is that performance appraisal is not a matter of choice. It is an essential and continuing activity in the life of an enterprise. The methodology employed to conduct the performance appraisal, however, remains a matter about which diverse viewpoints prevail.
- Increasingly, performance appraisal is being considered as a means of personnel development. Performance appraisal is not something an administrator does *to* but does *for* personnel.
- Many appraisal systems have been ineffective because of a low level of systematization. Failure to link appraisal procedures to organizational purposes, to unit objectives, and to position goals has created considerable personnel dissatisfaction with the results of performance appraisal.
- The fact of organization is as old as man. The theory of organization

² National Education Association, American Association of School Administrators, and Research Division, *Evaluating Administrative Performance*, Educational Research Circular, No. 7, 1968 (Washington, D.C.: The Association, 1968), 1.

³ Bruce J. Biddle, "The Integration of Teacher Effectiveness Research," in *Contemporary Research on Teacher Effectiveness* by Bruce J. Biddle and William S. Ellena, eds. (Holt, Rinehart & Winston, Inc., 1964), 1-40.

⁴ Robert M. W. Travers, ed., *Handbook of Research on Teaching* (Chicago: Rand McNally & Co., 1973), 7.

is modern. The practice of formal appraisal of personnel performance, as well as the theory on which it is based, is contemporary.³ In the second half of this century, a resurgence of interest in performance appraisal has become apparent, especially in the direction of developing total appraisal systems that include all personnel in an enterprise, so as to integrate the objectives of administrators with those of the organization and its long-term goals. (Some of the forces behind this resurging interest are discussed in the text following.)

FORCES IMPINGING ON THE TRADITIONAL PERFORMANCE-APPRAISAL SYSTEM

Figure 9.1 portrays graphically some of the pressures currently bringing about modifications in the traditional performance appraisal system for school personnel. *Organizational changes*, for example, have brought about an awareness of the inadequacy of appraisal plans that are divorced from subordinate need satisfaction as well as from organization purposes. *Social changes* have convinced many organizational personnel that there is a substantial discrepancy between what appraisal systems are and what they ought to be. To many, the traditional appraisal system is dehumanizing—an organizational barrier to self-realization and to the development of a career in which the experiences one realizes on the job are meaningful and satisfying. *Economic changes* have increased salaries to a level more nearly in keeping with the responsibilities with which these positions are charged. With this rising affluence have come demands from the electorate for school personnel to perform effectively in its behalf. *Client reaction* to school systems has been heard across the nation, expressed by the term "accountability." While the word *accountability* means different things to different people, one of its implications is that schools today are not functioning effectively in terms of their major purposes. Clients are demanding better schools, and school officials are seeking better appraisal systems to assist them in the process of motivating personnel to consistently higher levels of performance.

Personnel reaction to traditional performance appraisal systems is strong in its contention that a host of administrative barbarities have been perpetrated upon them in the name of appraisal. The catalogue of alleged dysfunctions is a long one, ranging from organizational failure to identify its expectations for members to a total disregard for the application of appraisal results to the improvement of personnel perform-

³ For a description of the evolution of streams of administrative thought, see Claude S. George, Jr., *The History of Management Thought* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1968).

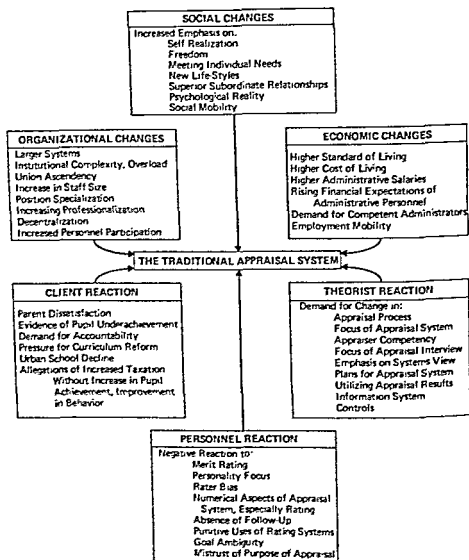


Figure 9.1. Interacting forces impinging on the traditional personnel performance appraisal system.

ance. *Theorist reaction* to the traditional appraisal system has been responsible for a variety of ideas from the behavioral scientists, resulting in a deemphasis on quantitative approaches to appraising subordinate behaviors. Educational systems planning, management by objectives, competency-based teacher education, behavioral objectives, mutual goal setting, counseling, progress review, integration of individual and organizational goals, and need satisfaction of staff members are but a few of the

contributions of theorists to performance appraisal to which modern organizations are heir.

Modern Approaches to Performance Appraisal

In the second half of this century, as noted before, a resurgence of interest in performance appraisal has become apparent, especially in the area of developing comprehensive appraisal systems to include all personnel of an enterprise, and in extending and improving the methodology of appraisal.⁶ Social change has contributed considerably to recent developments in the theory and practice of performance appraisal. Modern compensation structures, for example, are so arranged that "merit" addends alone are an insignificant determinant of what an employee is paid. Statutory regulations and union contracts preclude the idea of determining the major portion of an individual's salary solely on the basis of performance appraisals. Consequently, some of the justifiable fears about *merit rating* that prevailed during the depression years have been neutralized by minimum salary laws, tenure, civil service regulations, and union contracts designed to guarantee salaries and position security of school personnel.

Modern theory of performance appraisal consists of a set of concepts which may be summarized as follows.

- The primary purpose of performance appraisal is to facilitate change in individual behavior in order to achieve personal and organizational goals.
- The foundation of performance appraisal is the standards or goals established for various positions in the school system. Superior and subordinate both participate in determining performance expectations.
- In appraisal methodology, emphasis is on getting factual information about specific achievements as they relate to established goals.
- The appraisal system should be formalized, especially in supporting decisions on salary and wage increases, transfers, promotions, and

⁶ Seventy-three laws containing approaches to accountability have been enacted by state legislatures of thirty states from 1963 through the 1974 legislative sessions. The number of states with legislation in five accountability-related categories include: state assessment/evaluation (18 states); modern management techniques (16 states); professional personnel evaluation (13 states); performance-based school accreditation (3 states); performance contracting (2 states). Phyllis Hawthorne, *Legislation by the States: Accountability and Assessment in Education* (Madison, Wis.: Wisconsin Department of Public Instruction, Bulletin No. 3100, Report No. 2, Revised 1974), 3.

dismissals, and in communicating information to appraisees through a review of their progress.

- Results of performance appraisal are used to discuss performance and progress of personnel in relation to goals. Performance strengths are recognized and weaknesses identified so that individual action plans can be developed to make the necessary corrections.
- Appraisers are thoroughly trained in purposes and utilization of the performance appraisal system.

The modern trend in performance appraisal just described does not prescribe a formula for developing and implementing a systematic approach to appraisal problems in any given institution. Much of the literature on performance appraisal is theoretical. Practical application of theory has not yet reached the point where there is agreement on methodology.

HUMAN PROBLEMS AND ORGANIZATIONAL HUMANISM

One of the striking facts about modern organizations is an acceleration in the quest for new ways of meeting human problems brought on by an affluent, space-age society. Table 9.1 brings into focus the major human problems facing organizations and the contemporary conditions upon which their resolution will be partially contingent. An examination of the human problems of organizations shown in Table 9.1 suggests that more effective performance appraisal systems are essential to bringing about changes in the conditions noted.

The conditions with which contemporary appraisal systems will have to cope may be inferred from the fundamental change which, according to Bennis, has occurred in the past decade in the basic philosophy underlying managerial behavior. The impact of the new philosophy is summed up in the following three ideas:

- A new concept of *man*, based on increased knowledge of his complex and shifting needs, which replaces the oversimplified, innocent, push-button idea of man.
- A new concept of *power*, based on collaboration and reason, which replaces a model of power based on coercion and fear.
- A new concept of *organizational values*, based on humanistic-democratic ideals, which replaces the depersonalized mechanistic value system of bureaucracy.

As we examine the implications of Table 9.1 for the development of a personnel appraisal system, some interesting inferences emerge. Among the foremost of these is the fact that prevailing conditions require con-

stant attention to the problem of organizational survival and renewal. Central to these concerns are the assumptions organizations make about the personnel in their employ. The beliefs held by school systems on the nature of man, on the relationships that should prevail between the individual and the organization, and on the approaches employed to resolve human problems in organizations will affect the extent to which their aims are achieved. Another inference that may be made from Table 9.1 is that the assumptions an organization makes about the nature of man will be reflected in the kind of personnel appraisal system it has. As the text following indicates, one of the significant developments of the twentieth century is *organizational humanism*, a vision of organizational life in which human interests, values, and dignity predominate. The essence of an appraisal system is its assumptions about the nature of man. The emergence of performance appraisal concepts that embrace human perfectability, superior-subordinate goal setting, recognition of individual as well as organizational aims, bilateral use of power, and fulfillment through self-determination are illustrative of the relationship between assumptions about the nature of man and performance appraisal.

CONTEMPORARY MODEL OF PERFORMANCE APPRAISAL

Table 9.2 has been included to bring into clearer perspective the contrast between traditional and contemporary models of personnel performance appraisal, as well as to focus upon the potential of an appraisal system to contribute to the aims of organizational humanism. What Table 9.2 makes evident is that considerable recasting of performance appraisal systems is taking place. The new performance appraisal model calls for integrating individual needs and organizational goals, for self-education and self-development of personnel, for the establishment of an organizational-aims structure and a family of plans on which the appraisal system will be based, for emphasis upon results rather than upon the symbols which for so long have been considered to be tantamount to accomplishment.

As we end this section, it is clear that there is an increasing awareness of the necessity for change in performance appraisal systems. The present-day members of educational institutions, with all of their intelligence, education, and organizational know-how, will not tolerate a performance appraisal system that inhibits personal freedom, self-development, creativity, and organizational democracy. The organization, on the other hand, if it is to survive in the twentieth century, must make adaptations that will enable personnel to join with it to realize the ends for which it has been established.

These reflections lead to a more detailed consideration of the premises

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These reflections lead to a more detailed consideration of the premises

or assumptions on which a contemporary performance appraisal system should be based.

Basic Premises of Performance Appraisal

One of the first tasks an organization faces in designing an appraisal system is that of determining the assumptions on which it will be planned, administered, and controlled. In effect, to develop a set of premises about an appraisal system is to set forth what the organization's beliefs or convictions are concerning the appraisal of personnel. These premises form the basis upon which reasoning proceeds relative to what the organization believes the appraisal system should accomplish, and how it should be organized and administered to attain these expectations.

It is our intention in this section to advance a set of premises about the development of a performance appraisal system for school personnel. These assumptions will then be employed in subsequent sections to develop guides for planning the appraisal *system*, the appraisal *process*, and the control *network*, in order to ensure the maintenance and improvement of the appraisal system.

The beliefs an organization holds about the nature of man have considerable impact on the design of the appraisal system. It has been said that the appraisal system of every organization reflects the views and values of its designers concerning the nature of man. Table 9.3 has been included to examine this hypothesis in greater detail. The substance of these concepts, in order of historical appearance, is that four organizational assumptions about the nature of man include (1) rational-economic man; (2) social man; (3) self-actualizing man; and (4) complex man. Adherence to any one of these assumptions about the nature of man implies a somewhat different managerial strategy for each, but all are aimed at achieving results through people.

The kind of experiences staff members enjoy or suffer in a school system are usually those denied or permitted by the leadership. This contention has force when applied to an appraisal system. The appraisal system will be vastly different in an organization in which the ideological core is built around the *nature of man* rather than around the *nature of the organization*. It will differ in the organization that believes in sharing power with, rather than denying it to, its members. It will be different in the organization that stresses self-development of personnel rather than the total dependency of the individual on the organization. It will be different in the organization where the individual, rather than constantly being told what to do, is allowed to decide, within the limits of the assignment and the ground rules of the organization, how best to

achieve results. Thus, appraisal systems and their impact on people will differ, depending upon the assumptions about the nature of man held by those in authority.⁷

The effectiveness of a performance appraisal system in an organization is dependent upon and influenced by sound structural prerequisites. The quest for improved performance appraisal systems has had a long and checkered history. In this evolutionary process we have learned that one of the erroneous assumptions made by many organizations is that one component of an appraisal system, a rating or judgmental procedure, is an effective substitute for a *comprehensive* appraisal system. The abandonment of narrowly conceived appraisal efforts throughout organizational history suggests the need for an integrated system for appraisal of personnel.

Like all myths, the notion that an appraisal procedure exists independent of other organization systems and subsystems has a kernel of truth in it. The truth is that an appraisal process is supremely important; it is the core of the appraisal system. But it cannot exist in isolation. It has various structural prerequisites on which it depends and from which it derives its rationality. Although the nature of these structural prerequisites will be examined subsequently, it is worth observing at this point that performance appraisal is an important and interdependent activity in a complex social system.

A performance appraisal system, properly designed, has considerable potential for achieving an integration of individual and organizational interests. The basic mission of educational systems is to deliver effective services to clients in order to satisfy both the needs of the individual and those of society. Personnel employed in educational systems have certain expectations of the organization. Expectations include a given amount of pay for a given amount of work, participation in organizational decisions affecting the conditions under which they work, machinery for adjustment of grievances, strong leadership, opportunity for self-realization, position and personal security, the right to be heard, fair treatment, and the application of up-to-date administrative practices.

Organizational expectations of personnel include member's acceptance of the hierarchy of authority; of the concept of appraiser-appraisee relationships; and of the authority system, including rules, regulations, procedures, controls, and ritual. Acceptance of these expectations by members is considered essential by the organization if it is to accomplish its mission. Quite frequently, the expectations of the individual and those of the organization conflict.

⁷ For a supplement to this discussion as it pertains to teacher evaluation, see Bernard H. McKenna, "A Context for Teacher Evaluation," *The National Elementary Principal*, 52 (February 1973), 18-23.

The performance appraisal system, with its humanistic potential, is a forceful mechanism for achieving an integration of the interests of both parties. The concepts it embraces, including mutual goal setting, flexibility in position performance, occupational mobility, self-development, and work-creativity are conducive to the development of personal attachment of the individual to the organization, and to securing voluntary cooperation in achieving his position goals as well as the long-range mission of the system.

Advancing the self-development of personnel is the primary mission of the performance appraisal system. Development refers to activities undertaken by both the individual and the organization to improve personnel performance from initial employment to retirement. It is aimed at satisfying two kinds of expectations—the contribution required of the individual by the school system and the material and emotional rewards anticipated, in return, by the individual.

Within the past several decades, a profound conceptual shift has taken place with regard to the function of an appraisal system. The trend toward *management by results* has shifted the focus of the system from its traditional role of determining the size of a person's paycheck to facilitating his on-the-job performance. This change in the values and outlook of organizations regarding the central concern of the appraisal system should not be interpreted to mean that performance appraisal and compensation are unrelated. Rather, this new development involves a deliberate attempt to stretch the potentialities of the appraisal system beyond compensation concerns; to improve the affinity of the individual and the organization in their quest to satisfy mutual expectations.

The appraisal process is the core of the appraisal system. By definition, the appraisal process, which is the central component of an appraisal system, means a series of sequential and interdependent steps by which judgments are reached on how well individuals perform roles in a school system to which they have been assigned. This process will be subjected to detailed analysis subsequently, but it is necessary to make an observation at this point: the performance-appraisal process, as it applies to an individual member of a school system, is cyclical; it is repeated again and again during his employment history. The information derived from it will be used for a variety of personnel decisions, including position compatibility, counseling, compensation, tenure, performance improvement, promotion, transfer, and termination. One can understand readily why appraisees come to view the appraisal system with suspicion, mistrust, and misgivings. Indeed, as the numerous applications of information derived from performance appraisal are considered, one cannot fail to empathize with the feelings appraisees have about organizational plans resulting from appraisal. Such plans may have considerable weight in determining their organizational destiny, as well as

the satisfaction of their on-and-off-the-job needs. The appraisal process is not reality oriented if it ignores the psychological fact that the nature of man impels him constantly to work toward meeting his psychological needs, wishes, and personal aspirations. The extent to which every component of the appraisal process takes this fact into account will determine how well it succeeds in self-motivation of personnel.

The quality of the superior-subordinate relationship influences to a considerable extent the effectiveness of the performance-appraisal process. The basic act of performance appraisal occurs between two people. Although information about the performance of an appraisee may be derived from several sources, this premise holds: the central responsibility for goal attainment in any organizational position rests with the subordinate and his superior. This is to say that the act of performance appraisal is a continuing experience between appraiser and appraisee. The experience is intensely personal and emotional. In it two people are attempting to establish an individual-organizational fit. They need to develop and maintain an emotional climate within which what the appraisee wants to accomplish for himself and for his position can be identified; and what the appraiser wants to realize for himself, for his position, and for the organization can be identified.

Clearly, it is the quality of the relationship between superior and subordinate that makes an organization run. Without a relationship that is emotionally attractive, and psychologically and occupationally gratifying, the support plans, we described earlier as essential to the performance appraisal system, are of little avail.

Effectiveness of the performance-appraisal system in an organization depends upon plans for the selection and development of competent administrative personnel. In the premises advanced thus far about the performance appraisal system in an educational organization, the point has been made consistently that the act of assessing personnel is an inherent, and complex, administrative function. It has also been observed that most administrators will be responsible for directing and judging the performance of certain subordinates. In order to perform this task effectively, the administrator must possess a variety of conceptual, human, and technical skills. These skills, for the most part, must be developed. This is especially true of the knowledge, habits, and attitudes each administrator must bring to the appraisal process.

Maintenance and improvement of the appraisal system is achieved in organizations by effective application of the controlling function. The appraisal system, like other components of the educational operation—plans, programs, personnel, facilities, funds—is a means for attainment of purpose. Each has a goal subsidiary to, but essential in, realization of the purposes of the school system. Hence, each element in the school system should be appraised continually in terms of (1) its operational

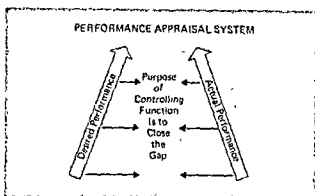


Figure 9.2. Relationship of controlling function to performance appraisal.

effectiveness, and (2) its contribution to the larger aims of the enterprise.

The process by which plans and actions are appraised organizationally is referred to as *controlling*. This process, and other processes such as planning, organizing, and leading, comprise the major activities of administration. The controlling process, as illustrated in Figure 9.2, is concerned with determining how well, or the extent to which, performance conforms to plan. When the nature and amount of deviation between plans and performance are determined, and corrective or remedial action taken to help the organization and its personnel to stay on course, one planning cycle ends and another begins. With reference to Figure 9.2, the controlling function attempts to close the gap between desired and actual expectations. In reality, the two lines never meet, because it is only in Utopia that the appraisal system achieves perfection.

Planning and Organizing the Performance-Appraisal System

This section is concerned with the manner in which a school system goes about the business of planning its performance appraisal system; how it copes with the problems in performance appraisal—and in doing so, hopefully achieves greater organizational maturity.

MEANING OF PLANNING AND PERFORMANCE APPRAISAL SYSTEM

The term *planning* as used herein is defined simply as a method of thinking out purposes or acts beforehand. The act of planning can be

illustrated by reference to some of the problems in developing the performance-appraisal system, such as: For what purposes will the appraisal system be designed? Who will be involved in the appraisal process? If the performance of every individual in the school system is to be appraised, how can the appraisal system be adapted to varying types of people, positions, and purposes? What methodology will be used to appraise personnel? How frequently will appraisal be made? Who will train the appraisers? What will be done to ensure the validity of the appraisal process? How will the results of appraisal be used? What type of information system is needed to collect, store, and retrieve information relating to individual performance appraisal? How will the appraisal process be linked to other personnel processes? The foregoing questions indicate the nature and scope of planning decisions relating to the performance-appraisal system. Also apparent from an analysis of the questions is that performance appraisal planning covers a wide range of activities, all the way from determining what is to be done, to clarifying who does what and when. In effect, a *performance-appraisal system* is an arrangement for linking together and coordinating a series of plans designed to resolve questions such as the foregoing.

Most organizations recognize the importance of performance appraisal and have, therefore, devoted a great deal of time and energy to the important personnel process. Because of the practical interest and current commitment to personnel accountability, the literature in the area of appraisal is voluminous. The discussion that follows focuses upon the design of a general appraisal model which is applicable to all categories of personnel in a school system. Treatments of appraisal plans for teachers, administrators, and support personnel contain perspectives of the general purpose model of performance appraisal presented in the text following.*

* **TEACHER EVALUATION:** Dale L. Bolton, *Selection and Evaluation of Teachers* (Berkeley, Cal.: McCutchan Publishing Corp., 1973); John C. McNeil and W. James Popham, "The Assessment of Teacher Competence," in *Second Handbook of Research on Teaching* (Chicago, Ill.: Rand McNally & Co., 1973); George B. Redfern, *How to Evaluate Teaching* (Worthington, Ohio: School Management Institute, 1972); Madeline C. Hunter, "Appraising Teacher Performance: One Approach," *The National Elementary Principal*, 52 (February 1973), 60-62; W. James Popham, "Teaching Skill Under Scrutiny," *Phi Delta Kappan*, 52:10 (June 1971), 599-602; John D. McNeil, *Toward Accountable Teachers* (New York: Holt, Rinehart, & Winston Inc., 1971); National Education Association, *Evaluating Teaching Performance*, ERS Circular No. 2 (Washington, D.C.: The Association, 1972).

ADMINISTRATOR EVALUATION: William B. Castetter and Richard S. Heisler, *Appraising and Improving the Performance of School Administrative Personnel* (Philadelphia, Pa.: Graduate School of Education, University of Pennsylvania, 1971); Jerry J. Herman, *Developing an Effective School Staff Evaluation Program* (West Nyack, N.Y.: Parker Publishing Co., Inc., 1973), National Education Association,

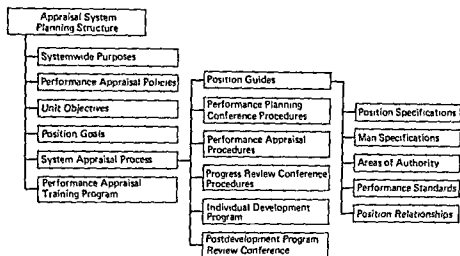


Figure 9.3. Types of plans needed to develop and maintain performance appraisal system for school personnel.

APPRAISAL SYSTEM PLANNING STRUCTURE

After a school system decides what results it wants the performance appraisal system to accomplish, a planning structure is needed. This means that executives responsible for planning the system must be able to recognize the different types of plans at their disposal, and which are most appropriate to achieve the results they seek. It is useful to consider the various types of plans employed in performance appraisal as a *planning structure*—that is, an arrangement of the several component plans into an orderly relationship. Figure 9.3 has been included to illustrate an appraisal system planning structure.

Examination of Figure 9.3 indicates that various types of plans and subplans comprise the appraisal system planning structure. We have, in effect, a family of plans whose major branches include *purposes, policies, goals, processes, and programs*. What is also clear from analysis of Figure 9.3 is that the various plans for the performance appraisal system fall into a hierarchy. This means that there is a successively detailed set of plans within the planning structure, beginning with the broad

Evaluating Administrative/Supervisory Performance, ERS Circular No. 6 (Washington, D.C.: The Association, 1971); National Education Association, *Evaluating the Evaluator*, ERS Circular No. 4 (Washington, D.C.: The Association, 1973); Suzanne K. Stenrock, *Evaluating Teaching Performance*, ERS Circular No. 2 (Washington, D.C.: Educational Research Service, NEA Research Division, 1972); Alan L. Patz, "Performance Appraisal: Useful but still Resisted," *Harvard Business Review*, 53:3 (May-June 1975), 74.

purposes of the school system and leading to a series of subordinate plans designed to implement the broader plan of which they are a part. The performance appraisal process, for example, is comprised of a series of detailed plans within plans, such as *guides, procedures, conferences, specifications, areas of authority, and relationships*. Each plan has a set or sets of subplans; each is interdependent upon and interrelated with all other plans. This is the essence of a performance-appraisal system which emerges from the planning structure. In the text that follows explanations and illustrations will be given of the major types of plans shown in Figure 9.3. In addition, the importance of integrating and coordinating all plans comprising the performance-appraisal system will be considered.

SYSTEMWIDE PURPOSES AND PERFORMANCE APPRAISAL

The broad purposes of a school system, noted in Figure 9.3, provide a means by which to examine the relationship between systemwide purposes and performance appraisal. The following are observations about their importance in performance appraisal:

- Systemwide purposes provide the basis for all organizational action.
- Organizational purposes and subpurposes are structured into a hierarchy. For example, a typical school system can be divided into hierarchical levels of descending order, beginning within the central administration down through individual schools, departments, sections, and work groups.
- Assignment of objectives to each unit in the school system is absolutely essential if the performance of unit members is to be appraised systematically.
- Broad organizational purposes are the ends toward which all administrative activity in each unit of the system is directed, as well as the basis upon which the performance of administrative personnel is appraised.
- All organizational purposes have two dimensions—time and level. Different levels within the organization are allocated different derivatives of broad purposes. One of the broad purposes of a school system, for example, is to assist pupils to acquire intellectual skills. Each level (elementary, secondary) within the system is assigned objectives to achieve within this broad purpose. The time dimension refers to the period of time within which the purpose or subpurpose is to be accomplished. Learning to read at a particular grade level is a more immediate, though an intrinsic, part of the longer-range purpose of developing intellectual skills. The higher the organization level, the more is its concern for attainment of long-term purposes.

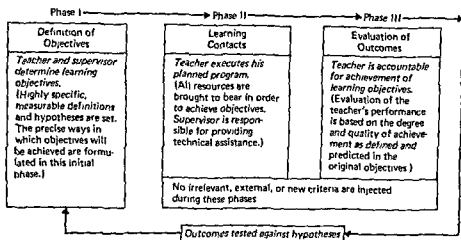


Figure 9.4. Teacher evaluation model. Source: William H. Lucio and John D. McNeil, *Supervision: A Synthesis of Thought and Action*, p. 250. © 1969. Used with permission of McGraw-Hill Book Company, New York.

Lower levels of the organization, such as the individual classroom, are concerned with more immediate goals. The teacher evaluation model, proposed by Lucio and McNeil and illustrated in Figure 9.4, is useful to examine in this connection.

Thus, it is evident that a performance-appraisal system has its genesis in the broad purposes of the organization. It would be futile to try to judge the results achieved by an elementary principal, for example, if the expectations the organization has for his unit are ambiguous or unstated.

POLICIES AND THE PERFORMANCE-APPRAISAL SYSTEM

Initiation and maintenance of a performance-appraisal system requires a variety of plans in addition to systemwide purposes. One of the principal plans to guide organizations in carrying out broad purposes is policy, an illustration of which is given in Figure 9.5. Let us consider how the policy illustrated in Figure 9.5 is related to the systemwide purposes noted in Figure 9.3, and the function of policy in the performance-appraisal system. We have noted that systemwide purposes indicate in a general way what the school system wants to happen, what results it expects to achieve. Policies, on the other hand, are somewhat more specific in that they reflect broad belief, intent, or position. The relationship between purposes and policies is that the former indicates what the organization wants to happen, and the latter is one of several plans designed to assure the organization that its expectations will be achieved.

the individual responsible for improving the position behavior of those who report to him.

POSITION DESIGN AND THE PERFORMANCE-APPRAISAL SYSTEM

Throughout the discussion in this section on the types of plans needed to support a performance-appraisal system, it has been noted that determination of purposes precedes all other organizational activities. Once the purposes of the organization have been established, its structure is planned by allocating to units the work to be done. Within each unit the number, nature, and scope of individual positions are decided. The design of individual positions, of course, has a close relationship to the performance appraisal system.

The design of any and every position in the school system is of critical importance because it determines the kind of competence required, the qualifications necessary to perform the role, the compensation required, as well as the individual development program essential for the incumbent if he is to fulfill the expectations held for him in the position. But more significantly, the position design indicates to both the appraiser and the appraisee the expectations the organization holds for the position, which in turn establishes to a considerable extent the basis on which the incumbent's performance will be judged. To say it another way, the position design determines the results the organization expects the holder to achieve; it also provides the basis upon which the appraiser determines the extent to which results have been achieved. In the final analysis, it is the gap between expectations and performance that determines the program of self-development decided upon by appraiser and appraisee.

PERFORMANCE-APPRAISAL TRAINING PROGRAM

When a school system commits itself to the kind of performance-appraisal system under discussion, it will discover that it will also need plans for training administrators to operate the performance-appraisal process effectively. This is a way of saying that the mere installation of a performance-appraisal system in a school system is not enough. Such a program is not self-operating. As illustrated in Figure 9.6, the chief executive officer of the board of education is responsible for planning a program for the training of administrators regarding the operation of the performance-appraisal system. Considerable knowledge must be imparted to and acquired by all administrative personnel. This includes an understanding of the organization's purposes in establishing a performance-appraisal system; the developing of positive attitudes on the

performance-appraisal process; note some of the organizational and human obstacles to be encountered in establishing the appraisal process; prepare the groundwork for a workable plan by which appraisee and appraiser implement the appraisal process.

A model for appraising the performance of personnel is illustrated in Figure 9.7, and portrays the appraisal process as consisting of five phases or steps, each of which includes a series of interrelated sequential activities. The major steps include (1) preappraisal planning conference; (2) performance appraisal; (3) progress review conference; (4) individual development program; (5) postdevelopment program review conference. Each of these steps will be discussed here in terms of the purposes it is expected to accomplish.

PREAPPRAISAL PLANNING CONFERENCE

The model illustrated in Figure 9.7 indicates that the initial step in the performance-appraisal process for administrative personnel is the performance-appraisal planning conference. This step includes a series of substeps or activities, among which are those designed to acquaint the appraiser and appraisee with the nature, scope, intent, procedures, and expectations of the appraisal process. The preappraisal planning conference is an essential channel of communication by which the appraiser and appraisee exchange information in order to bring about change in the latter's behavior. Generally speaking, it is designed to perform these functions: enable appraiser and appraisee to inform and to become informed about the appraisal process; clarify for the appraisee what expectations the organization has for the position he occupies; elucidate the difference between present and desired position behaviors; establish performance targets to close the gap; serve as a medium through which appraiser and appraisee influence each other in planning for the appraisal process; link the psychological system of the individual to the organization structure.

In effect, the first major task in the performance-appraisal process is a communications function. It is in the preappraisal planning conference that the organization communicates to the position holder the design of his position within the organization structure, and the relationship of the performance-appraisal system to that position.

As illustrated in Figure 9.7, there are several identifiable steps involved in the planning conference. They include a review by appraiser and appraisee of some of the major support plans established by the organization to implement the performance-appraisal system, such as organization purposes, unit objectives, position goals, performance standards, and appraisal procedures. Communicating a considerable

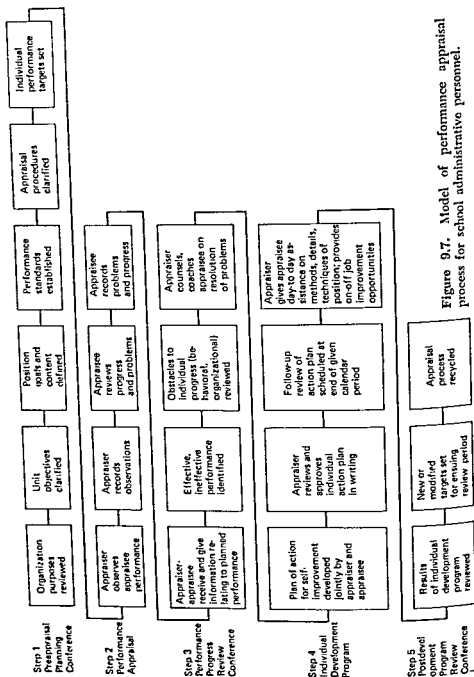


Figure 9.7. Model of performance appraisal process for school administrative personnel.

amount of the information to be exchanged between appraiser and appraisee in the planning conference can be facilitated by the organization through the preparation by the system of a performance-appraisal manual.

POSITION DESIGN AND PERFORMANCE IMPROVEMENT

It is useful at this point to highlight important assumptions about what takes place in a preappraisal planning conference:

- Performance appraisal is considered to be a systematized organizational activity that takes place primarily between two people—superior and subordinate.
- One of the purposes of a planning conference is to discuss the organization's view of the position and the manner in which it expects it to be performed.
- The first and focal point of the planning conference should be the improvement of performance in the position now held by the appraisee.
- An equally important assumption about the planning conference is that it focuses on the development and self-realization of the appraisee.
- The preappraisal planning conference should help to orient the position-holder to the behavior or performance desired in the position; inform him as to the manner in which the organization will assist him in achieving the desired level of behavior, and how it will measure his performance. In addition, the session should be directed toward dissecting the nature of the position and the behavior necessary to perform the role effectively, as well as discovering the difficulties perceived by the incumbent in performing according to plan.

If the foregoing notions are accepted, it appears that one of the important matters to be considered in the planning conference is the position design. This is to say that for every administrative position in the school system there will be some kind of formal description of it by the organization, indicating what the function of the position is, what the specific tasks are, what its relationship is to other positions, and its areas of authority and responsibility. Briefly, the school system attempts to define, to the extent possible, the nature and scope of each administrative position in the organization structure.

POSITION GUIDES AND PERFORMANCE APPRAISAL

Although the general nature of administrative positions in a school system is determined by system goals, the specific requirements for each are made explicit through position requirements, qualifications, performance standards, and ritual. The basic idea behind written requirements for each position is that they specify the relevant duties, responsibilities, relationships, and qualifications needed for their performance. Examination of Figure 9.8 indicates that two types of information are needed to clarify position requirements—the position and person specifications. The relationship between the information described in Figure 9.8 and the appraisal process should be apparent.

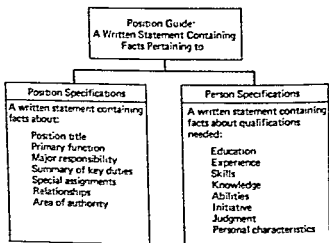


Figure 9.8. Elements of a position guide.

PERFORMANCE TARGETS AND PERFORMANCE APPRAISAL

Before proceeding to other points, let us take another look at Figure 9.7, which outlines the performance-appraisal process. Examination of the sequence of activities involved in the *preappraisal planning conference* (Figure 9.7, step 1), indicates that the key activity is the setting, by appraiser and appraisee, of individual performance targets—the specific goals they decide should be given priority. After reviewing the position, they agree on results they want to achieve in certain aspects of the position over a given period of time. Some of the targets will be derived from a variety of sources, such as the observations of both about common problems in the position which need attention, the results of

surveys, audits, and complaints about less-than-satisfactory aspects of performance in the position.

Figure 9.9 conceptualizes the relationship between position behavioral change and performance targets in the appraisal process. Examination of the model shown in Figure 9.9 indicates that in the preappraisal planning conference both appraiser and appraisee identify present and desired levels of behavior, and they define carefully, through performance targets, changes needed to improve the behavior or conditions under scrutiny. The targets become, in effect, the performance objectives for the designated appraisal period.

The concepts illustrated in Figure 9.9 can be described, in operational terms, by assuming that the assistant superintendent for instruction and the principal of the Raintree Elementary School decide upon performance targets such as the following:

- To improve pupil citizenship in the Raintree school.
- To have all classroom teachers understand the goals of the positions to which they are assigned.
- To raise the reading level of Raintree school to citywide elementary-school norms.

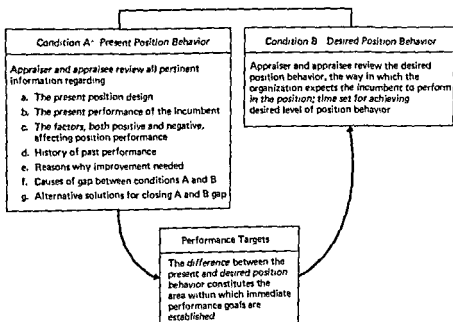


Figure 9.9. Model for improving position behavior through performance targets.

- To improve the instructional resources for teaching social sciences in grades 4-6.
- To improve the human skills of John Smith, Raintree principal.
- To improve the individualization of instruction at every teaching station.

Note that the performance targets selected as priority items have several characteristics. They are attainable—capable of being realized. They are derivatives of the central purposes of the school system. They are related to both the needs of the unit and those of the incumbent principal. They are specific. They are designed to bring into balance the position responsibilities and the self-development goals of the principal. They are capable of being reviewed by the superior within a given period of time, in order to determine the extent to which results have been achieved. The difference between actual and desired performance becomes the target area.

PERFORMANCE APPRAISAL

If we return to the model shown in Figure 9.7, we note that step 2, which we are about to consider, is the very heart of the process. It calls for a self-appraisal by the appraisee of the extent to which he is achieving the goals of his position. In addition, the appraiser makes an independent judgment of the results achieved by the subordinates in relation to the performance targets which have been established jointly. As will be illustrated later, *results of both appraisals are recorded separately, because both inputs are essential to the appraisal process.*

A. Appraiser observes performance of appraisee.

Let us now look in detail at the problem of how the superior goes about basing a performance evaluation on the dimensions previously noted in Figure 9.9. It will help to make the point that the superior must appraise the performance of his subordinate from two standpoints:

- *Are the goals of the position being achieved?* Here we are talking about the long-range goals of the position, especially in terms of those goals established by the organization in the position guide. The appraiser is constantly interested in determining the extent to which the appraisee performs in terms of the way the performance standards indicate the work should be performed.
- *To what extent are the short-term goals or performance targets being achieved?* The relationship between performance targets and long-range results, examined by the appraiser in performance appraisal, is illustrated in Figure 9.10. The performance targets are relatively short-term, decided upon jointly by superior and subordinate in

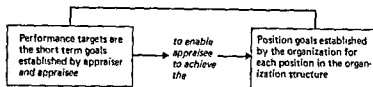


Figure 9.10. Relationship of performance targets to position goals.

order to give day-by-day direction to the behavior of the subordinate. The performance targets suggest priority actions that need to be taken by the appraisee, and the skills, habits, and attitudes he needs to acquire to improve his total performance in the position to which he is assigned.

It is at this point in the discussion of performance appraisal, especially as it relates to classroom teachers, that some generalizations distilled from research have application. Krasno, for example, notes that there are four generalizations that bear upon some of the most widespread misunderstandings regarding teacher accountability. They include (1) teacher effectiveness is relative to the goals of the instructional process; (2) the teacher's influence upon educational outcomes interacts with the influences of so many other agents that it is extremely difficult to ascertain the effects of a particular teacher upon a particular pupil; (3) a good achievement test yields a single score or set of scores that are *estimates* of a particular ability or set of abilities; (4) most research on the influence of particular school expenses, and especially on the influence of teachers, has focused on immediate effects, yet many of the most profound objectives of education are expressed in terms of the life-long impact of schooling.⁹

B. Appraiser records observations.

For a variety of reasons, the appraiser needs to record his observations concerning the performance of his staff members. These reasons include the recording of information for the follow-up conference with the appraiser, for performance analysis, for the action program to be developed, and for the performance history of the individual. The essential features of a form for recording observations on the performance of an individual occupying an administrative position are as described here and illustrated in Figures 9.11, 9.12, and 9.13.

C. Appraisee makes self-appraisal and records problems and progress.

Reexamination of Figure 9.7 indicates that one of the essential activities in step 2 (performance appraisal) is the self-appraisal by the incumbent of his administrative performance. To a considerable extent the

⁹ Richard M. Krasno, "Accountability and Research on Teacher Effectiveness," *Administrator's Notebook*, 21, No. 1 (September, 1972).

Section A.	Summarize the overall strengths that you have demonstrated in performing your present assignment.
Section B.	Do you feel that you are well placed in your present assignment? If not, please explain.
Section C.	In what areas of your present assignment or in the way you perform your present assignment do you think you can improve your performance?
Section D.	Do you feel that you have potential beyond your present assignment? How have you demonstrated this potential? What can you suggest as your next assignment?
Section E.	Are there significant facts you think should be noted about the dimensions of your position that affect your performance which you think should be brought to the attention of your superior, such as: <div style="margin-left: 40px;"> Unit Objectives Position Design Human, Technical, Conceptual Skills of Administrator Social Setting Administrative and Operational Processes Results Achieved </div>
Section F.	How effectively do you feel you have met the responsibilities of your position?
<div style="display: flex; justify-content: space-between;"> <div>Signature of Appraisee _____</div> <div>Date _____</div> </div>	

Figure 9.12. Illustration of self-appraisal of administrative performance. Self-appraisal form.

appraisee goes through the same analytical process as the appraiser does to determine the degree to which he is meeting the requirements of the position.

Figure 9.12 has been included to indicate the kinds of questions the appraisee asks himself about his own performance. The self-appraisal process has at least three purposes: (1) to assist the subordinate to analyze his present performance; (2) to provide information for a progress review conference with the superior; and (3) to help the incumbent to identify his strengths, weaknesses, and potential, as well as to help him to make plans for improving his performance.

PERFORMANCE PROGRESS REVIEW CONFERENCE

Once the performance appraisals are completed by the appraiser and appraisee, the next step in the appraisal process is the performance-progress review conference, sometimes referred to as the *postappraisal interview* (Figure 9.7, see step 3).

One of the purposes of the progress review conference is an exchange of information between appraiser and appraisee about the latter's per-

Name of Appraiser _____		Organizational Unit _____	
		Position _____	
Section A.	What progress does the appraiser think the appraisee made during the review period in closing the gap between actual and desired performance?	What progress does the appraisee think he has made in closing the gap between actual and desired performance?	
Section B.	In what areas does the appraiser think the appraisee can improve?	In what respects does the appraisee think he can improve?	
Section C.	Since the last appraisal, in what ways does the appraiser think the performance of the appraisee has improved?	Since the last appraisal, in what ways does the appraisee think his performance has improved?	
Section D.	What specifically does the appraiser plan to do to improve the performance of the appraisee?	What are the appraisee's plans for helping himself?	
Section E.	What follow-up action will be taken by the appraiser on the basis of this review?	What appears to be the general reaction of the appraisee to (a) the performance appraisal, (b) ways by which performance can be improved?	
Signature of Appraiser _____			
Date of Review _____			

Figure 9.13. Performance progress review report. Progress review form.

formance. The information contained in Figures 9.11, and 9.12 will be exchanged between both parties. The appraiser prepares for the conference by reviewing carefully the appraisal he has made. Likewise, the appraisee, who receives a copy of the report, reviews it in preparation for the discussion.

A second purpose of the progress review conference is to clarify viewpoints about the appraisee's performance. Differing perceptions of the position goals, responsibilities, authority, and relationships can be identified, examined, and clarified. The appraisee's feelings toward achieving performance targets can be examined. Obstacles to individual progress, whether they be individual or organizational, are topics open for discussion.

Emphasis on the self-development of the appraisee is a third purpose of the progress review conference. As noted earlier, performance appraisal is designed not only to accomplish organizational ends but to help

the individual attain personal objectives, one of which ought to be performance improvement. It is at this stage of the conference that the superior attempts to counsel or to coach the appraisee on the resolution of problems affecting his performance.

Figure 9.13 has been included to illustrate a means by which the appraiser can compare his judgments and those of the appraisee on the latter's performance. The information contained in this form provides the basis for the progress review conference and the individual development program.

INDIVIDUAL DEVELOPMENT PROGRAM

Now let us consider the next step (4) in the appraisal process, which is, according to Figure 9.7, the joint development of an action program for the appraisee based upon step 3, the progress review conference.

The essence of the individual development program may be summarized as follows.

- The performance-appraisal reports should indicate to both appraiser and appraisee how well the latter has done in reaching previously established targets. The appraisal reports should make it possible to determine how the appraisee is actually doing.
- On the basis of the progress review conference, which points up both results achieved and results to be achieved, appraiser and appraisee come to a common understanding on what performance targets should be reestablished for the next review period.
- During the period set for the individual development program, considerable responsibility is placed upon the superior for guiding and motivating the behavior of the subordinate in terms of the performance targets.

The mechanics by which individual development programs are systematized are illustrated in Figure 9.14. The point of the illustration is to focus upon the idea that the following features are essential to an individual action program:

- A plan developed jointly by appraiser and appraisee identifying, by priority, specific performance targets that are to be the focus for the development period.
- A summary by the superior relative to the outcomes which the performance targets are designed to achieve.
- A description of the measures to be used to determine the progress of the appraisee in reaching the performance targets.
- A description of specific approaches for improving the performance

Position:	Teacher, Fawn Grove Middle School	Date:	
Incumbent:	J. D. Moran	Period Covered:	
Appraiser:	J. Jones		
1. Performance Targets	List the specific performance targets established with the incumbent at the beginning of the performance review period.		
2. Measures of Performance	Describe what means will be used to measure progress made in reaching performance targets.		
3. Performance Expectations	Describe, for each performance target listed, the results that are anticipated.		
4. Action by Appraiser and Appraisee	List specific actions to be taken by both appraiser and appraisee for each performance target listed.		
5. Responsibility for Initiating Action	List responsibility for initiating action relating to each performance target.		
6. Date of Initiation	List dates where actions for each performance target will be initiated.		
7. Date of Progress Review	List date on which progress for each performance target will be reviewed.		
Signature of Incumbent _____			
Signature of Supervisor _____			
Date _____			

Figure 9.14. Outline of individual development program. Individual development form.

of the incumbent. These include actions to be taken, responsibility for initiating action, dates on which action will be initiated and on which progress will be reviewed.

POSTDEVELOPMENT PROGRAM REVIEW CONFERENCE

As shown previously in Figure 9.7, step 5 in the performance-appraisal model is the postdevelopment program review conference. This phase of the process is designed to check the results of the individual development program and to establish new or modified performance targets for the ensuing review period. *In effect, the appraisal process is being recycled.* As performance standards are reached in any of the dimensions under consideration, the process is redirected toward other areas of performance where improvement is needed. Quite obvious is the fact that the intent of the review conference is to establish continuity and stability in the development program of the individual. Concrete plans should

emerge for extending the program in areas where performance has been weak and for further building strength in areas where it has been good. Kindall and Gatzka make several interesting points with regard to checking results:

- Here is a key point in the understanding of this appraisal program: *Hitting the target is not the measure of success. It is to be expected that some targets will be surpassed, some never even approached. The person who sets meager targets and always hits them is certainly of no greater value to the company than the person who sets unreachably high targets, falls short consistently, yet in doing so makes substantial improvements on his past work. If one's "score" in hitting the bull's-eye is not the important thing, what is?* Simply this: the results achieved by the *total process* of establishing targets, striving to attain them, and analyzing what intervenes between planned and actual performance. When a judgment must be made, the individual is evaluated on his ability to set targets as well as his ability to attain them.
- In checking results, we feel the superior should do all he can to emphasize success—to build on successful accomplishment, the superior should help the subordinate. This help takes many forms: coaching, training, work assignments, allowing the subordinate to substitute for the superior, and so on.
- There is nothing in the recommended appraisal procedure which suggests that a superior should abdicate his managerial responsibility. Suppose that after coaching, training, and other help, a subordinate fails to set and reach targets deemed realistic by his superior. At this point the boss should act, even though it might mean demotion, transfer, or release of the subordinate.¹⁰

Having reviewed the basic components in the chain of steps comprising the performance-appraisal process, here are several aphorisms about the process:

- Changes in individual behavior are the objectives of a performance-appraisal program. This means a change in the individual self-concept.
- The purpose of having the individual engage in self-appraisal of his performance is to enable him to gain insights of self-understanding. Out of self-understanding should come changes in self-expectation.
- The changes sought in individuals can develop only through their own self-direction.
- Measures for appraising the performance of individuals are not expected to be high-precision instruments, because the nature of what is being measured is not easily reduced to quantitative terms.

¹⁰ Alva F. Kindall and James Gatzka, "Positive Program for Performance Appraisal," *Harvard Business Review*, 41:6 (November-December 1963), 153-154.

- Genuine self-development of individuals will not occur without direction from the superior. Progress review conferences provide the opportunity for appraiser and appraisee to inventory successes and failures and to develop an understanding on the part of the appraisee of their consequences.
- Although there is a considerable amount of knowledge and understanding required to plan, organize, implement, and operate a performance appraisal system, the application of the process need not be complicated. It has been said that there is an inverse relationship between the amount of paperwork involved in the appraisal process and its effectiveness. Consequently, the emphasis of the appraisal process should not be on an elaborate system of forms, procedures, and reports. The focus of the program, as stressed throughout this text, is the self-development and self-realization of personnel.
- School systems adopting the concepts proposed herein will need to undergo a process of renewal. It will mean for many districts abolition of the time-honored, trait-oriented rating system which, unfortunately, has been assumed to be a panacea for all appraisal problems. It will mean the development of a support system for the appraisal process, as explained previously. It will mean a change in traditional plans for the continuing education of personnel, because the focus will be switched to the achievement of specific performance targets. It will mean, finally, a gradual increase in the ability of administrators to see themselves more clearly in terms of their relationships with their staff, in terms of how they perform in their present assignments, in terms of how they contribute to the objectives of their unit, and in terms of their influence on the total system.

Controlling the Performance-Appraisal System

Of all of the things administrators do to improve the performance of personnel, planning, organizing, leading, and controlling, none is more critical than the control function. *Control*, as employed herein, is taken to mean the determination of how well, or to what extent, conditions or performance conform to plan. Inherent in the control function are three closely related elements which form the basis of the discussion which follows. These are

- Plans—including purposes, policies, objectives, goals, programs, standards, processes, procedures.
- Checking results against plans.
- Adjusting to correct deviations from plans.

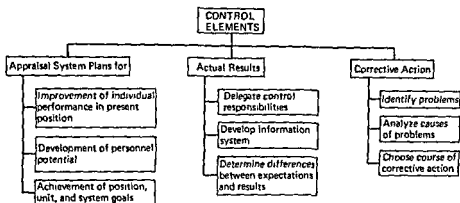


Figure 9.15. Model of performance appraisal control process for maintaining and improving performance appraisal system for school personnel.

Figure 9.15 represents a model of a performance-appraisal control process for maintaining and improving the appraisal system for school personnel. It is based on the foregoing discussion of the three elements involved in the control process—plans, results of plans, and remedial action to make performance conform to plan. The model shown in Figure 9.15 can be employed as a conceptual framework around which ideas can be developed about the characteristics of the control process and ways to utilize these elements for improving personnel performance.

Summary

Throughout this chapter ways have been explored by which the appraisal of individual performance in a school system can be made effective. There are many reasons for judging organization personnel; three of the most important are manpower planning, compensation, and self-development.

The appraisal process, as noted in this chapter, has the following features:

- Self-appraisal by the appraisee, to enable him to judge the extent to which he is meeting performance standards.
- Appraisal of individual performance by the appraiser, to determine how well the appraisee is meeting standards.
- Review of results of respective appraisals by the appraiser and appraisee, to develop an individual action program.
- Assessment by both parties of individual development in terms of an action program.

- Preparation of a new action program by both parties, to cover the next period of individual development.

The actions suggested in the foregoing process for appraising individual performance should help to enable every individual in the system to know what he is expected to do and to understand the results he is expected to achieve in performing the work related to his position; to inform each staff member as to how well he is actually performing the work to which he is assigned; and to provide personnel opportunities to grow in directions that will satisfy individual needs and system expectations.

Development of Personnel

Now that we have discussed the performance appraisal process and its relationship to the personnel function, thought must be given to its linkage to personnel development as well as to other processes listed in Figure 2.4, including manpower planning, recruitment, and selection. The central idea underlying the discussion which follows is that personnel administration is a continuing function, one which must be carried on day in and day out, year in and year out, if the school system is to perform its role effectively. More specifically, the personnel unit does not halt its activities when vacancies have been filled. It must concern itself with the destiny, productivity, and need satisfaction of people after they are employed. This includes activities relating to personnel development, health, tenure, leaves of absence, substitute service, employee associations, grievances, and retirement. The emphasis in this chapter is on the administrative process by which plans for the development of personnel are conceived, implemented, and controlled.

Dimension and Scope of Personnel Development

Personnel development is preeminent among the personnel processes designed by the system to attract, retain, and improve the quality and quantity of staff members needed to solve its problems and achieve its goals. The process of personnel development is vitally linked to manpower planning for, as it will be recalled, a sound manpower plan calls for

- *Improving the performance in their present positions of all incumbent position-holders.*
- *Developing key skills of selected personnel so as to fill anticipated vacancies.*
- *Promoting the self-development of all personnel in order to enhance their influence as individuals and to facilitate need satisfaction.*

Development, as viewed herein, is critical to the life of every individual in the system, to the effectiveness of the work group in which each is involved, and to the attainment of the system mission.

As considered here, *development* refers to provisions made by the school system for improving the performance of school personnel from initial employment to retirement. Several aspects of this definition require further explanation to lend more meaning to the following discussion. Although it is recognized that personnel can and should improve their effectiveness without formal involvement of the system, attention here will be focused on those activities specifically planned and administered by school officials to facilitate staff development.

Another aspect of the definition is that development includes all school personnel on the payroll. Although emphasis on the professional staff is quite proper, the application of the discussion which follows is to total staff development.

A third dimension of the definition is that personnel development is aimed at satisfying two kinds of expectations—the contribution required of the individual by the school system and the material and emotional rewards anticipated by the individual in return.

A fourth dimension of the definition is that development and training traditionally have been given a somewhat different connotation. Training has long been conceived of as organizational efforts to improve performance in a position, whereas development has been thought of as activities devoted to the improvements of an individual's ability to advance to a more responsible position within the system. As employed herein, development includes all activities designed to increase an individual's ability to perform assignments effectively, whatever the role and whatever the level at which they are performed.

NEED FOR PERSONNEL DEVELOPMENT

Well-organized and coordinated staff development programs for all employees are essential to good personnel administration. This need, especially for the professional staff, has been recognized throughout the history of American education. How to correct deficiencies of the poorly trained teacher, to help the inexperienced, to keep staff members abreast of educational and social developments, and to stimulate professional growth have been perennial problems in educational administration. Numerous inventions have emerged over the years in response to the demand for staff improvement, including the reading circle, teachers' institutes, extension courses, summer schools, workshops, correspondence study, and conventions. The quest for more effective development plans and programs continues today, perhaps at a greater pace and in more

diverse directions, to provide opportunities for personnel to become and to remain professionally competent. Federal support for staff development programs, through passage of the Elementary and Secondary Education Act of 1965, as well as the Education Professions Development Act of 1968, has contributed materially to interest in both the theory of and practices related to staff development.

The concept of in-service education as a means of facilitating personnel development has never been seriously challenged.¹ It is generally accepted, for example, that school personnel do not enter the profession as finished practitioners. There are differences in the extent and nature of their preservice education. Some teachers are graduates of a five-year program; others do not possess a bachelor's degree. There are differences, too, in the quality of preservice programs; often little relationship exists between the preservice program and the actual demands of the teaching position. Thus, unevenness of teacher preparation as well as the general immaturity of beginning teachers are factors that help to create the need for personnel development programs.

Social and educational change are closely related. Expansion of knowledge in the twentieth century has been so rapid, and the rate of obsolescence so swift, that much of the knowledge acquired by personnel during the preservice period may be quickly outmoded. New developments in chemistry, physics, and mathematics, for example, pose problems of educational change for the classroom teacher, as well as for the total educational program. Advances in the psychology of learning, in knowledge of human growth and development, in teaching methods, and in providing for individual differences are further examples of the need for continuous development of personnel. Table 10.1 contains a list of hypothetical development problems in a school system, on which the following discussion on designing realistic and workable plans of action for developing personnel is centered. There are two major considerations involved in planning personnel development programs. The first is the total development needs of the organization; the second is needed improvements in the specific knowledge and skills of individual incumbents, and third, the potential of the incumbents for growth and development. The hypothetical situation posed in Table 10.1 assumes that every organization will have deficiencies in personnel performance and in procedures or systems. The sources of the deficiency data shown in Table 10.1 are interrelated. Data gathered in the performance appraisal process, for example, can be applied to the development process. An important aspect of the concept illustrated in Table 10.1 is that the output from one personnel process or procedure can provide input for another process or

¹ The terms *in-service education* and *personnel development* are used interchangeably throughout this chapter.

those who serve it. Improvement programs should be designed to make administrators more effective in their current assignments and to create a pool of capable leaders for recurring administrative vacancies, as discussed in the manpower plan.

Staff development is closely related to institutional change. The educational program, for example, is in constant need of modification to meet instructional problems created by social change. In other sections of this chapter, it will be noted that a carefully planned program emphasizing continuing professional growth through cooperative staff action is an important means for effecting system improvement.

Circumstances point to increased acceptance of the development of school personnel as an important and appropriate function of school administration. Prospects for further advances in the concept of staff development, and in provisions for its implementation, are favorable. This trend may be attributed to many factors, including:

- Federal support of staff development programs.
- Benefits derived from training programs in education, industry, government, and the military.
- Realization that many curricular-instructional problems can be solved through programs emphasizing cooperative staff action.
- Demand for securing increased returns from funds expended for school personnel.
- Concerns of unions and teacher associations for staff development.
- Belief that pupil growth can be facilitated and enriched by teacher growth.
- Desire to resolve unsatisfactory conditions which develop in the classroom when the stimulus to professional improvement is lacking.
- Conviction that the system has an obligation to provide opportunities and assistance to enable the person committed to a career in education to derive personal and professional satisfaction from his endeavors.
- Obligation of the school system to minimize turnover, grievances, and close supervision; to prepare personnel for higher positions and more responsibility; to stimulate interest in the position and the system; and to increase the number of effective contributors to the aims of the institution.

If the system accepts the assumption that staff development is a pervasive and continuing need essential to effective and efficient service, then serious consideration must be given to the conceptual base on which plans are built. The following section suggests constructs for the formation of a staff development program in a local school system.

Concepts of Personnel Development

It has been argued that the kinds of experiences staff members enjoy in a school system are usually those desired or permitted by those in authority. This contention has force when applied to a staff development program. The nature, extent, quality, and types of developmental experiences in which school personnel have an opportunity to participate rest heavily upon the beliefs, attitudes, and values of school planners. Concepts assumed to be important by modern organizations in the conduct of personnel development programs include those listed below, and portrayed graphically in Figure 10.1.

- The effectiveness of the system rests on the competency of each member of its staff. Individual effectiveness is increased through opportunities provided by the system to develop inherent capabilities.
- Personnel development is a "womb to tomb" activity. Development is a continuous need for all personnel, from initial employment to retirement.
- The system thinks of itself as a mini-university, providing development opportunities through a wide range of experiences, in various programs, for all of its members.
- Programs are designed to provide opportunities for individuals to develop themselves.
- The primary purpose of a development program is to enhance the school system's ability to attain its goals. A collateral aim is to guide

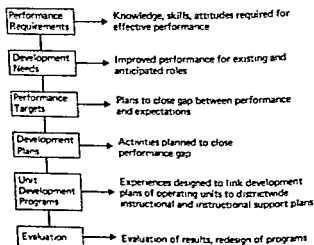


Figure 10.1. Factors involved in personnel development.

the learning of personnel to improve their effectiveness for current or potential assignments.

- Development involves changing the behavior of individuals in such a way that they are able and willing to make effective contributions to the goals of the school system. This entails motivating them to perceive development as a means of need satisfaction.
- The development program is aimed at meeting needs for systemwide as well as unit, group, and individual improvement. Development planning involves a review of the role of the organization, the role of each unit within the organization, the role of each individual in each unit, and strategies for moving each individual unit from the actual toward the ideal role.
- School systems of the future will grant much greater autonomy to local school attendance units than is now the case. Consequently, development programs of the future will be highly decentralized, aimed at making each individual more effective in his assignment and enhancing his contribution to the goals of the work unit to which he is assigned.
- School systems have a recurring need to attract, retain, and develop outstanding talent to fill each position. They will need comprehensive manpower plans to develop the people they have and those they recruit.
- The absence of funds in the school budget for personnel development does not mean that the district is saving money. Quite the contrary. Personnel learn, by formal and informal means, the workings of their positions, and unorganized and undirected learning generally results in unproductive individual performance.

Having looked at some of the major concepts of personnel development, let us now turn to two practical concerns: how these concepts can be applied in a development program, and how the organization maintains and renews itself through their use.

Planning Considerations

Planning in the central administration of a school system for personnel development involves decisions on several major issues, such as what the program is expected to accomplish, by what means, within what limits, and in what order of priority. The superintendent and his staff, then, set up planning guides for initiating and coordinating the total personnel development program. These include long- and short-range development objectives of the system, policies, budgets, priorities, and responsibilities.

PERSONNEL DEVELOPMENT POLICY

It is important for the board of education to indicate publicly what it wants to have happen regarding the development of personnel and what it is willing to support financially. This declaration of intentions is presented as written policy, as in the following illustration:

It is the policy of the Cloudfcroft school system to provide its personnel with opportunities to become more effective in performing the work to which they are currently assigned, or to which they may advance, through increased knowledge, education, training, and experience. Moreover, it is our policy to help each individual progress in the service of the school system. When vacancies occur, incumbent personnel are entitled to first consideration. It is our intent to provide an appropriate development program for every individual in our employ, regardless of the work to which he is assigned.

Policies in writing provide the administrator and his staff with the authorization needed to establish overall plans for personnel development.

THE BUDGETARY PROCESS AND DEVELOPMENT PLANNING

Soundly conceived personnel development programs are of little help to the school system unless they are incorporated in annual and long-term budgets. The budgetary process affords the most effective means by which the central administration can assist each of the units in defining its major goals, as well as the personnel development plans needed to move toward these goals. Under this concept, the budgeting process calls for plans from operating and attendance units, including designs for specific personnel development programs. The central administration fosters creative ideas for personnel development in each unit, evaluates their potential, integrates plans submitted by each unit, and sets development priorities within the limits of existing resources.

Examination of Figure 10.2 will give some idea of the scope of planning needed at all levels of the school system if an effective personnel development program is to result. Figure 10.2 shows that personnel development planning involves all members of the institution, requires system, unit, and individual plans, utilizes a variety of activities, and enlists the services of diverse agencies and agents to facilitate the aims of the program.

Assuming that a school system intends to establish and maintain a formal development program, the board of education and its planners must make some important decisions. Among the more important questions are these.

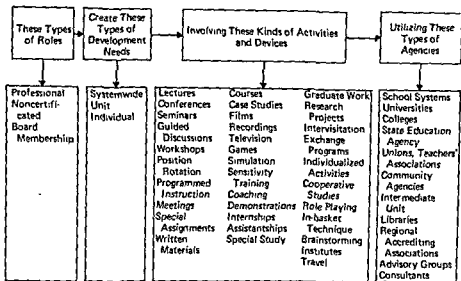


Figure 10.2. Elements of personnel development plans in a school system.

- For whom should the programs be designed? Should participation be compulsory?
- How should responsibility be allocated for initiating, directing, and appraising the program?
- How can time, staff, facilities, and resources be provided to stimulate and strengthen the program?
- What steps should be taken to guarantee that development needs will be met through the budgetary process?
- What studies should be undertaken as a basis for program planning?
- What kinds of activities should be included in the program?
- How can learning theory be applied effectively to the development programs to facilitate acquisition of various types of terminal behaviors needed?
- What steps should be taken to ensure program balance?
- What provisions should be made for continuous review of the program?
- How can staff members be motivated to increase their capabilities to contribute to system goals?
- What is the relative utility of various development methods?

Examination of the foregoing questions related to development points up the need in school systems for a philosophy and related plans of action that will challenge all personnel to develop their potential. Such an eventuality can come about only if the board of education and administrative team are willing to exercise their knowledge and influence in this

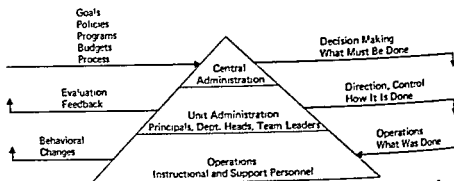


Figure 10.3. Relationship of structural levels to personnel development planning.

direction. As illustrated in Figure 10.3, the board of education establishes policies that govern development, planning for the long run, providing and allocating funds and facilities, and evaluating results. The administrative staff is concerned with fostering the voluntary cooperation of personnel in the development program and with giving expression to central and subsidiary objectives, budgets, programs, processes, and procedures for achieving goals set by the board of education. We shall next explore ways by which a local school system initiates and maintains development opportunities for its personnel. In doing so we shall focus primarily on the process by which such activities are planned and coordinated.

The Process of Personnel Development

The basic process by which the school system administers its personnel development plans is outlined in Figure 10.4. This process, it will be noted, is similar to other personnel processes examined in preceding chapters. The several steps involved have a familiar ring—clarifying the objectives of personnel development, establishing plans to achieve the objectives, allocating responsibilities, and appraising results. There are several key observations to be made about the process outlined in Figure 10.4. First, it should be emphasized that clarification of the objectives of the program and of the roles of each of the work centers or units (individuals, teams, school attendance units, divisions, departments, committees, total system) is essential to the success of the entire endeavor. Second, plans can be initiated only after the development needs of each work unit have been identified. Third, the development process is interdependent with other personnel processes. The linkage between manpower planning and staff development, for example, is self-evident. Manpower plans indicate how many and what types of positions do and will

- The goals of the school system shape the types of positions established.
- Activities engaged in by the school system to achieve its goals are highly specialized, requiring a variety of personnel skills, knowledge, and abilities.
- The work of a school system is organized into functional units (subsystems) and is usually performed by personnel working in groups (elementary, secondary, vocational, middle, magnet, junior, and senior high schools).
- In order to improve the effectiveness of the total school system, each of the units in the system should have a clear perception of its role. Further, each individual should have a definite view of his role in the unit to which he is assigned, and of how this role contributes to the goals of the system. This understanding is essential to modification of individual behavior. (Figure 10.5 has been included to illustrate the meaning of this statement and the following one referring to performance standards.)
- The school system should ensure that each unit and the individuals composing it have a clear perception of the operational standards they are expected to achieve. In short, each unit and individual should have concrete, attainable goals—the clarification of which is a system responsibility.
- The basic personnel development plan is composed of a set of closely linked subsidiary plans designed to move individuals and units from the actual to the ideal role.

The essence of our discussion is that a broadly conceived plan for personnel development closely tied to system, unit, and individual goals has considerable potential for integrating the psychological and social needs of staff members with the goals of the organization. Carefully designed and administered, such a plan can do much to eliminate current criticisms of modern in-service programs in education, failure to relate activities to genuine needs of participants, and selection of activities without regard to purposes.²

² See, for example, Lonnie Wagstaff and Tom McCollough, "In-Service Education: Educator's Disaster Area," *Administrators Notebook*, 21, No. 8 (April 1973); Louis J. Rubin, Ed., *Improving In-Service Education: Proposals and Procedures for Change* (Boston: Allyn & Bacon, Inc., 1971); Ben M. Harris, *In-Service Education* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1969); William C. Miller, "In-Service Education, New Strategies and Priorities," *The School Administrator* (June 1974), 18-19; Roy A. Edelfelt, "In-Service Education for Teachers: Priority for the Next Decade," *Journal of Teacher Education*, 25:3 (Summer 1974), 250-253; National Education Association, *Rethinking In-Service Education* (Washington, D.C.: The Association, 1975).

Once the goals of the system and the objectives of each unit are established, the master plan for development can move forward. Each development activity is judged in terms of how it will contribute to moving the individual or the unit from the present toward an idealized role. Appraisal of system plans for development can then be based on the progress made in moving toward operational standards.

DETERMINING RESPONSIBILITIES

At least three forces within the school system have some responsibility for personnel development. These are (1) the board of education and its administrative staff, (2) the teachers' association or union, and (3) the individual himself. We are concerned in this section with the stimulation that the school system provides for personnel development, a component in the personnel development process outlined in Figure 10.4.

Development is a multidimensional process permeating the entire school system. At the highest level, the board of education is responsible for creating the climate and the resources that make developmental activities possible (see Figure 10.3). The central administrative staff, along with line personnel in each of the units, develop a master plan for personnel development. Heads of units are primarily responsible for determining the knowledge, abilities, and skills essential to carrying on the work of their units, and for proposing ways by which their subordinates can acquire these essentials.

Responsibility for the development program lies with the administrative staff, from the superintendent of schools to the clerical or cafeteria supervisor. The planning and successful coordination of its elements calls for both centralized and decentralized responsibilities. Under this concept, every administrator is responsible for the development of personnel within his jurisdiction. The superintendent of schools, as the highest operating authority in the system, becomes the chief development officer. Even though the chief executive delegates planning and operating responsibilities, he has general responsibility for the entire program.

Much of the activity related to planning and coordinating development programs in the central administration (see Figure 10.2) will be delegated to the personnel director. He will act primarily as advisor to both line and staff administrators in such matters as collecting information for planning, suggesting program models, preparing budgets and proposals, organizing off-campus development activities, initiating evaluation studies, and consulting with line personnel.

One hypothesis about responsibilities for personnel development is

that certain activities are more appropriate for the heads of operating units than for the central administration, and vice versa. Much of the operating responsibility for development rests with unit administrators. It is well known that assistance to personnel in developing in them desirable patterns of personal and social behavior, in developing feelings of responsibility, in improving their knowledge, abilities, and skills, in developing favorable attitudes toward the school system and the appraisal system, and in acquiring appropriate work habits cannot be extended effectively from a central office. The unit head, in his day-to-day contacts with subordinates, is in a much more favorable position to interact with personnel and to stimulate their development.

Determining Development Objectives. After the system has reviewed its organizational, unit, and individual development objectives, and has completed plans for administering and coordinating the development process, another task in the planning sequence of the personnel development process (as shown in Figure 10.4) is to determine the specific development needs that can be solved through systematic programming. This discussion is based on the view that such needs can be identified for the school system as a whole, for operating units, and for individuals. Each of these will be examined in the context of a master plan for personnel development.

Total System Development Objectives. One of the chief sources of information required for the development program of the school system as a whole is the manpower plan. Referring to the previous discussion of manpower planning in Chapters 4 and 5, it will be recalled that several kinds of data are collected to make plans for a continuous supply of competent staff. Those data include: characteristics of the existing staff members, types of positions (manpower inventory), turnover, growth rate of school system, current and anticipated vacancies, contraction or expansion of staff requirements, talent inventory of current personnel, and manpower forecasts.

It will be recalled that the manpower plan provides information about the difference between the manpower available and that which is needed. Development is a prime means of making up the difference between staff demand and supply in key positions. It is generally agreed that school systems rely heavily on internal sources for filling the majority of these key roles. Methods usually employed to upgrade personnel from the present staff include improving the ability of the individual currently occupying the position and promoting an individual from a less responsible position.

Because the manpower inventory is oriented toward the potential of

individuals in the system to fill anticipated vacancies, it furnishes an excellent foundation for the establishment of individual development programs. Useful data include factual background information relating to current personnel, records of individual performance, and assessments of potential for development.

Development by Participation in Improvement Plans. In addition to the manpower plan just referred to, the school system utilizes other means to effect changes in the behavior of its personnel. These include changes in personnel policies and procedures, such as those relating to compensation, appraisal, or security. Another approach to personnel development is to construe development needs as system, unit, and personnel objectives to be derived by staff consensus. This concept is illustrated in Figure 10.6 and portrays a consensus process model by which development objectives for the total system are identified and integrated into a series of plans

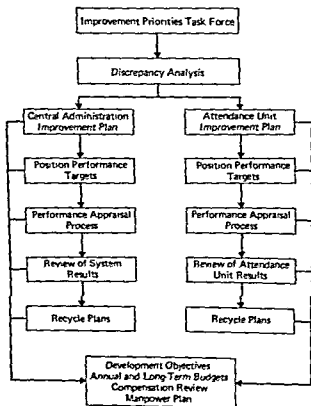


Figure 10.6. Consensus process model for planning total system, unit, and personnel development.

for achieving system, unit, and position objectives. The strategy underlying the consensus process model includes the following premises:

- The gap between the results the system aims to achieve and what it actually is achieving is determined by a development task force.
- Performance targets are established by analysis of discrepancies in achievement as noted by the task force for both the central administration and attendance units.
- Performance targets for positions are established on the basis of an inventory of improvements agreed to by consensus.
- Development objectives become the basis for modifying and extending the budgeting, compensation, and manpower plans.

Unit Development Objectives. The observation was made earlier that the trend to decentralize school systems is well under way. The principal and staff of each school are being accorded more authority in staff recruitment, selection, and development in order to encourage imaginative responses to community needs. In view of this trend, it is reasonable to anticipate that increasing attention will be given by each unit to the development of a staff for achieving its unique objectives. In brief, the individual school unit, such as an elementary school, should be encouraged to establish its idealized role, to review its current role, and to decide how it will move to the role it decides it should perform. This will involve preparation of a *unit* manpower plan, out of which the system manpower plan will emerge. Thus, the development objectives of each unit will be linked to its goals, and each unit will be given considerable leeway in the plans it prepares for the development of its staff. It is apparent, then, that the development plans of each of the local attendance units comprising the system may differ considerably. This does not mean, of course, that unit development plans will not be integrated with those of the system. Examination of Table 10.2 illustrates development objectives for the central administration and attendance units. These provide the basis for establishing position performance targets for each position in the unit. Moreover, the performance appraisal process, as shown in Figure 9.7 (see Chapter 9), becomes the basis for a supervisory plan for linking individual performance to position expectations.

Individual Development Objectives. Although the school system is responsible for systematizing staff development plans, the actual responsibility for improving his effectiveness rests with the individual himself. The sources of information that should be available for guiding the development of each individual in the system include data from the recruitment, selection, induction, and appraisal processes. Each process, if designed properly, will provide information to the individual and the

Table 10.2 *Illustration of System and Unit Development Objectives*

<i>A. Central Administration: Development Objectives, 19__-19__</i>	
1. <i>Overall System Improvement Needs</i>	
(a) Complete by January, 19__, update of long-range development plan.	
(b) Reduce 19__ budget expenditures by 8 per cent to conform to anticipated decrease in revenues.	
(c) Reduce recorded discipline problems by 10 per cent as compared with 19__ record.	
2. <i>Education Program Function (Improvement Needs)</i>	
(a) Complete implementation of special program for creatively gifted students by November, 19__	
3. <i>Logistics Function (Improvement Needs)</i>	
(a) Complete by May, 19__, a vendor rating system to maintain price, delivery, and reliability at or below an index established for past five-year record.	
(b) Improve quality of building maintenance throughout system.	
4. <i>Personnel Function (Improvement Needs)</i>	
(a) Achieve higher level of teacher applications as compared with those of past five years.	
5. <i>Facilities Function (Improvement Needs)</i>	
(a) Achieve full modernization of Cooper School.	
6. <i>External Relations Function (Improvement Needs)</i>	
(a) Implement plans to cooperate with police department re: reduction of juvenile delinquency.	
7. <i>Planning Function (Improvement Needs)</i>	
(a) Complete budget forecasts by December, 19__	
<i>B. Attendance Units: Development Objectives</i>	
1. <i>Manheim Elementary School</i>	
a. <i>Systems Dimension</i>	
(1) Organization: Complete PERT chart for issuance of report cards.	
(2) Curriculum: Complete plans for implementing revised reading program.	
(3) Instruction: Maintain once-a-week contact with all teachers at their work stations and hold once-a-month performance review meeting.	
(4) Personnel: Reduce absenteeism of building personnel from 8 to 5 per cent.	
(5) Pupil Services: Achieve 100 per cent utilization of school dental program.	
(6) Facilities: Reduce by 50 per cent complaints regarding building sanitary conditions.	
b. <i>Leadership Dimension</i>	
(1) Minimize school-community conflicts regarding pupil bus behavior.	
(2) Improve skill in communicating to school staff expectations regarding teaching performance.	
(3) Reduce vandalism by 20 per cent over previous year.	
(4) Increase mean reading score of school on reading achievement test from 32nd to 50th percentile.	

administrator to whom he or she reports: the recruitment and the selection processes will have yielded information on past performance; the induction and appraisal processes will have produced observations on the individual's present performance; and the review of past and current performance should indicate something of his or her potential for the future. The foregoing information, when used to advance unit improvement plans and to achieve position performance targets (such as those described in Table 10.2), provide a foundation for guiding the develop-

ment of individual staff members so as to perform more effectively. Up to this point, the discussion has focused on the first, or planning, phase of the personnel development process (previously illustrated in Figure 10.4). In the text following, discussion advances to the second phase of the process, which is concerned with the organization and the design of the development program.

Programming Personnel Development

With the goals and roles of personnel development clarified, the focus of concern moves to design of the development program. Figure 10.7 illustrates such a design. The essence of Figure 10.7 is that the organization of a program begins with an analysis of development needs derived from an information system designed specifically to collect, store, retrieve, and utilize facts and observations for the development process.

INFORMATION SYSTEM FOR PERSONNEL DEVELOPMENT

A development or training need is defined as a gap or deficiency between the actual and desired performance. Thus, a major component of

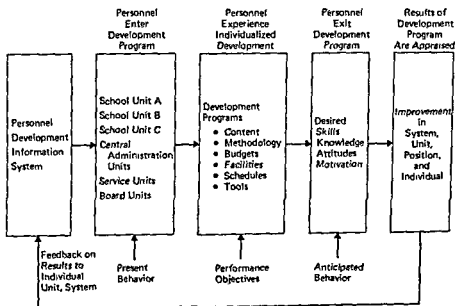


Figure 10.7. Design for Cloudercroft school system continuing development program.

the development information system is a carefully designed set of performance standards for each position within the three major types of work to be performed—instructional, administrative, and service. Position performance standards define intended results and provide a base for the preparation of the second component of the information system, namely, facts and observations derived from analyses of the differences between performance standards and actual position behavior. Position standards, it should be noted, specify the kind of performance anticipated by the system for each role, and as such become behavioral objectives on which program content, instructional methods, and media are designed.

Information about position performance and emerging manpower requirements is gathered from two key sources—the appraisal- and manpower-planning processes. Analyses yielded by the performance-appraisal process will indicate the kinds of performance deficiencies that exist. The information should reveal whether the performance gap is the result of failure of the position-holder to acquire the necessary knowledge and skills to achieve the performance standards. If, on the other hand, position-holders have the necessary skills and do not achieve the performance standards, a motivation rather than a development problem must be resolved.

The manpower plan will contain information about new positions to be filled, changes in position requirements, or changes in the position technology that bring into focus the kinds of development plans needed to accommodate planned innovations.

Analysis of personnel records provides clues to performance-related problems and potential development needs through such indicators as high turnover, absenteeism, grievances, separations, transfers, and dismissals.

The goals of the system and the objectives of units within the system are vital components of the development information system, because it is on the goal structure that position standards and, consequently, individual development needs must rest.

SELECTION OF DEVELOPMENT GROUPS

Figure 10.7 also indicates that individuals and groups who have been identified for inclusion in development programs will come from various units of the school system, including service, instructional, and administrative categories. A fourth category has been included to represent individuals or groups from the board of education who need to become involved in development activities in order for them to perform effectively as members of the system's governing body. The reason for referring here to development groups is that, in the course of time, various groups or units from within the system will be involved in some

form of personnel development. The groups involved may be those within a single school, or a provisional unit including members from the system at large, such as custodians, principals, or teachers of language arts.

Development programs may consist of both internal and external elements. The internal development program, as conceived herein, includes development activities that occur constantly within the system, are part of organizational routine, and include practically every system member. The appraisal process, scheduled meetings, committees, coaching, special assignments, individual study, union or professional society activities, position rotation, and special meetings for development purposes are examples of in-system, ongoing activities that are employed regularly. Many school systems utilize external resources or conduct programs to augment internal development activities. Personnel involved in external programs are frequently those in need of increasing their knowledge and abilities in their present positions, of preparing for positions of greater responsibility, of developing leadership abilities, or of enhancing self-development.

DEVELOPMENT PROGRAMS

Once the school system has defined its mission, established objectives for each of its units, developed position performance standards, designed a development information system, and identified individuals or groups in need of specific development activities, there still remains the problem of developing program content appropriate to objectives of the development program. Developing program content is a critical step in the organization and in the designing of the program elements portrayed in Figure 10.4. It involves the application of appropriate learning theory as well as knowledge of the learner, and what is to be learned. The kinds of learning principles that should be taken into account in designing a training program, according to Schein, have been derived from many decades of research on human and animal learning. A sample of such principles is presented here.

Learning will be facilitated to the extent that

- The learner is motivated to learn.
- The responses to be learned are meaningfully related to each other and to the motives the learner brings with him.
- The new responses to be learned do not conflict with old responses or attitudes; if they do, learning will be facilitated only to the extent that the training provides an opportunity for the old responses to be unlearned before the new responses are learned.
- The new responses can be successfully generalized from the learning situation to other situations, and can be appropriately used.

- The new responses are *reinforced*, in the sense of being followed by some reward, or information that the response has been made correctly.
- The learner is an active participant in the learning process rather than a passive listener; he has opportunities to set targets and goals for himself.
- The learning situation provides opportunities to practice the new responses and allows for *plateaus*, periods of little improvement which often precede marked improvement.
- The new responses to be learned are broken up into learnable units, and presented in an appropriately paced sequence.
- Coaching or guidance is available to help the learner develop new responses.
- The learning situation allows for individual differences in the speed of learning, the depth of learning or amount learned, and the sequence in which responses are learned.²

Essentially, the school system is concerned with designing development programs that facilitate elimination of the performance deficiency or need. Programs for development are individualized to the extent that they are stated in terms of performance objectives, are focused upon certain types of learning, and are organized in a way that instructional strategies, methods, and media are brought to bear upon the terminal behavior under consideration. Odiome has suggested that development objectives can be classified conveniently into three types. As illustrated here, these three classes of objectives comprise an ascending scale of excellence and can be employed to establish program content and methodology.⁴

High

- 3 Innovative objectives (changes or improvements in established plans).
- 2 Problem-solving objectives (problems arising from deviations from established plans).
- 1 Regular or routine objectives (outlined in position guide).

Low

The instructional methodology employed in a development program usually takes one or a combination of the following forms: *self-instruction*, *tutorial instruction*, or *group instruction*. This point will become evident as we examine in the text following plans for relating personnel development to personnel groups within the system.

Programs for Classroom Personnel. Activities that constitute development programs for classroom teachers are numerous and varied. They are

²E. H. Schein, *Organizational Psychology*, 2nd ed. (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1970), 39-40.

⁴George S. Odiome, *Personnel Administration by Objectives* (Homewood, Ill.: Richard D. Irwin, Inc., 1971), 338.

intended to improve both the educational program and the general ability of teachers to function effectively in their current positions. They involve individual and cooperative effort and focus upon the solution of persistent problems. In part, they are designed to help teachers to

- Develop skill in individualized instruction.
- Acquire a mastery of the teaching content related to the position.
- Utilize educational technology in the classroom.
- Develop ability to use instruments for appraising development of pupils.
- Maintain control of the classroom.
- Understand the function of education in a society, its relation to social, economic, and governmental structures.
- Recognize limitations in the educational program and participate with other staff members in studying and advocating means for improvement.
- Work with other teachers to provide continuity in learning experiences.
- Assist the school system to develop meaningful objectives.
- Participate in solution of problems that are of common concern to staff personnel.

One of the most difficult administrative aspects of the development program is securing maximum staff participation. Increasing belief in the worth of personnel development has resulted in a tendency to extend opportunities for professional growth and to devise various arrangements for wider staff involvement. The financial incentive, a proven stimulus to action, has been used frequently to promote participation in professional activities. Money is indeed important for motivational purposes, but it is no substitute for leadership. The design of the development program, for example, has considerable effect on its ability to provide experiences conducive to staff improvement. There is general agreement that programs are likely to be effective when

- Teachers participate in the planning process.
- Problems are of significance to participants.
- Released time is provided.
- Resources are available, including consultants, facilities, and funds.
- The budgetary process is fully utilized to project immediate and long-term program needs.
- Experimentation is encouraged.
- Individual, building, and system activities are related so as to promote both professional growth and improvement of the educational program.
- Administrative provisions for professional growth are extensive.
- The climate for improvement is positive.

Because school systems vary, a suitable development program for classroom personnel will not be the same at all places and at all times. The kind of plan that will be most effective in a given school system depends on continual planning, experimentation, and refinement of procedures based on the appraisal of results. This approach should do much to minimize uncritical imitation, a tendency which emphasizes the fashionable rather than the relevant.

Programs for Administration. To deal effectively with the array of crucial problems confronting modern public education, such as youth rebellion, collective negotiations, cyclic economic conditions, emphasis on competent administrative personnel, obsolescent curricula, the "accountability" movement, social integration, and the demands of special interest groups requires a high order of leadership. Application of any development approach to improving the effectiveness of individual administrators calls for certain precautions. Improvement of administrative behavior is a complex process, and it is affected by a variety of variables, including the willingness of the individual to modify his behavior. Moreover, there are multiple development approaches to most performance deficiencies, and the pattern selected must be considered a tentative method of intervention. Some approaches may be effective with certain individuals, others may not. Whether the administrator is a superintendent or a principal, or a staff member related to either office, the scope of his responsibility is wide; and the personal, professional, and leadership qualities required of him are demanding. As in the case of the classroom teacher, the preservice program cannot fully provide opportunities to develop the necessary conceptual, technical, and human skills. Examination of the administrative performance problems listed in Table 10.3 illustrate this point.

These developmental approaches to performance deficiencies involve a careful analysis of the individual administrator's needs for change. The needs or performance analysis should provide information as to whether the performance needs require emphasis on *education, training, or behavioral change*. After the needs have been classified, a development program geared toward corrective action can be designed in cooperation with the individual administrator. The development approaches designed to improve the deficiencies identified in Table 10.3 will vary. If, for example, the performance problem is one of inappropriate leadership style, the development approach may include counseling, participation in leadership seminars, and a selected reading program.

Because of the changing demands on school administration, plus the realization that administrators need organizational assistance if they are to fulfill current and potential position requirements, system plans should

Table 10.3. Performance Deficiencies Commonly Attributed to Administrative Personnel

Ineffective work habits.	Failure to understand subordinate behavior.
Inability to set objectives.	Inability to cope with subordinate behavior.
Inability to achieve established objectives.	Unwillingness to share power.
Improper use of time.	Negative reaction to needed innovations.
Unwillingness to delegate responsibility	Lack of initiative.
Overassertiveness.	Inability to articulate plans.
Political rather than goal-oriented behavior.	Underassertiveness.
Indifference to personnel problems	Inability to influence subordinates.
Inability to tolerate mistakes of subordinates.	Overpromotion.
Lack of skill in dealing with groups	Energy decrease
Inappropriate leadership style.	Attitude rigidity.
Learning difficulty.	Emotional disorder.

be made for the continuing growth of administrators during their entire period of service.

It is necessary to stress the point that no meaningful program of development for administrators is possible without the understanding, cooperation, and support of school boards and citizens. This is very clear: There is a definite relationship between professional improvement and the betterment of educational opportunities for children and youth within the school system. Another equally important point is that development programs require financial support. Professional leave policies, travel, participation in studies of administrative problems, and other developmental activities require public expenditures and board sanction. A third point is that without a definite policy, the chief executive and his staff are not in a position to develop a comprehensive program.

Clarification of the program can be achieved through a sound budgetary process, where responsibility for developing plans is lodged with the superintendency team. Board and citizen appraisal of plans, as expressed in the budget and subsequently sanctioned by budget approval, helps to establish policy and gives direction to the program.

Efforts to provide opportunities for the improvement of administrators are widespread. Professional associations, foundations, universities, state and federal governments, intermediate units, school study councils, and school systems are continually, although usually independently, attempting to better the quality of school administrators. These efforts are often uncoordinated, resulting in geographic inequalities of developmental opportunities for administrators, or in failure in some locations to provide an adequate range of programs to meet diverse developmental needs. Finding ways to coordinate the efforts of all agencies and institutions interested in the professional growth of administrators would be helpful.

especially if the functions each group can best accomplish are clarified and identified.

Programs for Service Personnel. Until recent years, the personnel development task in school systems has been narrowly conceived. Although every system employs service personnel and depends on them for the performance of diverse logistical support services, the development activities have been focused exclusively on professional personnel. The following reasons are advanced in support of programs for support personnel:

- Training of service personnel is a consequence of employment in every system, whether by formal or informal means, by plan or by chance, and whether effective or ineffective. The newcomer must learn what to do and how to do it. The experienced employee must learn to perform better the work for which he is responsible. Essential training can be improved if it is conceived as a part of overall personnel policy.
- Service personnel also contribute to realization of the aims of the educational program.
- Machines, tools, and expensive equipment operated by service personnel are becoming increasingly numerous and complex, and require operators with more intensive training.
- Personnel incompetency is a violation of the principle that full value should be received for each tax dollar expended. Money wasted on incompetent or unnecessary personnel reduces funds available for the support of the educational program.

Organization of the development program for service personnel raises familiar questions of allocation of responsibility and authority. The central administrative staff is responsible for planning, coordinating, and appraising the development program. But it is unlikely that the central staff will conduct the actual program; much of the implementation will be delegated to operating heads, such as food, facilities, security, transportation, and maintenance supervisors. The central office will assist line, staff, and service units in the conduct of program activities. This includes helping operating heads to appraise development needs; become acquainted with on-the-job teaching and coaching techniques; develop plans to enable subordinates to become increasingly aware of performance standards; engage in continuous study of methods and procedures for facilitating work; find time, funds, facilities, and personnel to implement the program; and appraise the effectiveness of the training program and revise it periodically.

The quality of the services that support the educational program de-

depends on the effectiveness of those who direct and carry on the work, consequently, an effective training program for all service personnel is instrumental in furthering the primary mission of the school district. An adequate program utilizes a variety of resources and methods; is given full-scale backing by board of education policies; is placed under unit control, with the chief executive responsible for the overall planning, direction, and control of the program; and is organized so that relationships among persons responsible for its operation are clearly understood.

Program for Board Members. Public education in the fifty states is an extensive undertaking, involving administrative units ranging from small rural schools to large urban systems serving millions of pupils; they employ thousands of people, and cost billions of dollars annually. Policy determination and general supervision over local school district operations rest with local boards of education, made up of elected or appointed lay persons.

For the satisfactory performance of board functions, persons who assume the responsibilities of membership must understand, among other things, the place of the school in American society, as well as the function of the local board of education as a lay planning and appraising body. It is generally recognized that if boards of education, whose members are continually changing, are to operate at maximum efficiency, measures are needed to increase the members' understanding of school problems and the importance of policies in contributing to or limiting their solution.

Of the many tasks that arise in connection with improving school board effectiveness, the following are both recurrent and challenging:

- Acquainting new board members with their duties and responsibilities.
- Developing harmony and team spirit within a board.
- Helping board members to understand the difference between legislative and executive functions.
- Getting members to develop and adhere to written policies.
- Helping members learn what good schools are and what they can do.
- Providing members with useful information about their schools.
- Acquainting members with the major functions of a school system (program, logistical support services, personnel, external relations).
- Helping boards interpret the role and needs of the school to the community.
- Helping members take an interest in improvement of education at local, state, and national levels.
- Developing productive board-superintendent relations.
- Improving lay advisory-committee cooperation.

The developmental tasks listed here are not new. They relate to the kinds of troublesome problems that confront most boards and board members, and require positive action. The work of helping board members to perform their functions competently is complicated by the fact that participation in improvement activities is voluntary, and many members are unable to devote substantial amounts of time to such activities. On the other hand, because of the wide variety of practices, procedures, and agencies available, any school system can establish and maintain some form of development program for this purpose. With so much riding on the decisions made by boards of education, efforts to improve their preparedness for the task seem eminently worthwhile.

Implementing Development Programs

A reexamination of the model of the personnel development process (outlined in Figure 10.4 and elaborated upon in Figure 10.7) indicates that completion of the design phase leads to systematization of development activities in order to ensure that responsibilities are completely and confidently carried out. In short, all development programs within the system need to be coordinated so that both systemwide and unit deficiencies are corrected. Reference is made to the necessity for linking individual, unit, and organizational development, because individual development programs are inseparable from broader programs of organizational change and improvement. Basically, development activities are a means of attaining organizational goals and desired results. Organizational and individual development are viewed as being mutually supportive. Neither can be fully effective in the absence of the other. Well-designed development programs for enhancing conceptual, technical, and interpersonal skills will fail if the organizational climate is not conducive to improved behavior.

Table 10.4 and Figure 10.8 have been included to illustrate the need for controlling development programs after they have been implemented. Table 10.4 outlines a plan for monitoring all system development programs during a fiscal year. In addition, it brings into focus the need for examination of the manner in which funds (approximately \$50,000) in the Cloudecroft school system are being applied. Questions could be posed about the allocation of development program resources as they relate to the principles cited throughout this chapter.

As with all projects and activities within a school system, development programs are monitored, reviewed, and evaluated in terms of the extent to which intended objectives are achieved.

A development program, as the term is used here, is an organized set

Table 10.4. Personnel Development Program Analysis, Cloudercraft School System

	Programs for Instructional Personnel					Programs for Administrative Personnel				Programs for Service Personnel	
	New Teacher Orientation		Con-ference and Com-ment session		Develop-ment Leave	Semi-nar		Tuition Reim-bursament		Com-ference and Com-ment session	Teacher Advise
	Summer Work-shops	Tuition Reim-bursament	Blame Course	1 Week		Ex-change	Lease	Lease	Lease		
1. Development Project											
2. Organized for elementary secondary specialists	x	x	x	x	x	x	x	x	x	x	x
3. Duration 0 Days	4 Weeks	2 Days	1 Week	15 Days	x	x	x	x	x	x	x
4. Project Scope: systemwide building	x	x	x	x	x	x	x	x	x	x	x
5. Number of Participants	350	30	35	151	As required	30	15	As required	As required	As required	15
6. Funds Allocated	\$13,800	\$2,350	\$1,000	\$4,832	As required	\$250	None	As required	As required	\$5,280	\$600
7. Responsibility	Deputy Supt.	Same	Same	Same	Yes	Supt.	Deputy Supt.	Same	Same	Same	Asst. Supt.
8. Project Effectiveness	Excellent	Excellent	Ineff.	Fair	No	Yes	Fair	Good	In-effective	Fair	Exc.
9. Performance Appraisal	No	No	Yes	No	Yes	No	No	Yes	Yes	No	No
10. Appraisal Linked to Pay	x	x	x	x	x	x	x	x	x	x	x
11. College Credit	x	x	x	x	x	x	x	x	x	x	x
12. Project Focus: Routine objectives Problem-solving objectives Innovative objectives	x	x	x	x	x	x	x	x	x	x	x

* Contractual.

Form 37 Cloudcroft School System: Individual Development Record

Name _____ Position _____ Unit _____

Description of Development Project _____

Project Objective _____

Project Design _____

Measurement Plan _____

Results Achieved _____

Prepared By _____ Reviewed with Trainee _____

Date _____ Date _____

Figure 10.8. Individual development progress report, Cloudcroft school system.

of activities, unified by a comprehensive plan, to achieve specific objectives, in accordance with established policies and budgetary allocations. It involves the determination of specifics as to how each will be carried out in the units of the school system; the selection of purposeful activities; the timespan for each of the several programs; the personnel involved; how the money will be spent; the physical facilities required; appraisal procedures; and structures needed in each unit to put the program into effect.

The focus of development planning, it will be noted, is on the operating unit (line, staff, service unit). This means that even though certain development programs will be initiated at the top level of the system, much of the responsibility for planning and implementing specific programs will rest with unit heads such as principals, department heads, supervisors, directors, and coordinators. This hypothesis is in keeping with the thought that each unit should understand its organizational role, both ideal and actual, and perceive clearly the development that must take place in personnel so as to advance from the latter to the former condition. Theoretically, much of the evidence of the need for staff development will come from unit heads; and much of the change in the behavior of individuals will be the result of the quality of the relationship between supervisor and subordinate. Conferences which summarize the subordinate's performance and make plans for his growth are at the heart of the process.

It is an article of faith among executives that behavior patterns of

personnel can be modified in directions desired by the system through effective programs of development. Two corollaries to this are (1) the line, staff, and service units in a school system have the prime responsibility for advocating and implementing development programs, and (2) heads of units are the major determinants of program effectiveness.

If we hold to the assumption that the unit head is the key figure in modifying the behavior of his subordinates in desired directions, then it follows that the system must give considerable thought to the development of all administrators in the system who direct the work of other adults. It is the unit head (the principal, for example) who inducts personnel into the system, conducts follow-up interviews, determines their strengths and weaknesses, learns to understand their feelings and problems, conveys to them the need for and importance of development, sets development goals which are mutually agreed upon, checks progress toward achievement of goals, serves as teacher and coach, and recognizes work well done.

In addition, he advises the central administration on development policies and programs, makes certain that the necessary activities are being implemented, that the programs under his jurisdiction are being carried out effectively. The implication here is that the school system must conduct a development program for its administrators, one aimed at increasing their understanding of the process of personnel development, including the way needs are identified, how development plans for individuals and units are prepared, how learning theories are linked to development purposes, and how the success of the development effort is appraised.

EVALUATING THE PERSONNEL DEVELOPMENT PROGRAM

The development process, as introduced in Figure 10.4, includes evaluation as a culminating step, because the activities related thereto involve expenditure of considerable human effort and the physical resources of a school system. The board of education, its agents, and the community in general expect a fair return on the resources invested in this activity. Two kinds of questions that are usually raised regarding the operation of any organizational activity relate to administrative and technical rationality. The first kind of question seeks information on the extent to which administrative know-how is applied to the development process; that is, the manner in which it is planned, organized, directed, and controlled. The second kind of question seeks information on the degree of effectiveness with which available technical knowledge is applied to the process. For example, the school system may want to know whether the best theories of learning are being used to modify the behavior of personnel in the

program, and whether the ways of determining development needs are valid.

A final and much more difficult question is whether the development program is really helping the organization to realize its daily, annual, and long-term goals. Determining what measurable gains have been made by what people in what activities is a skill most organizations have not yet mastered. As the quest for improved ways to appraise the results of development goes on, the school system can appraise the development program as to its impact on achievement of behavioral objectives by personnel, the responses of unit heads to the results accomplished, and the contribution of the program to the effectiveness of the school system.

Development efforts have been criticized frequently because they do not focus upon significant individual or organizational needs, because they attack the wrong problems, or because they attempt to solve the correct problems with inappropriate instructional techniques. Two additional shortcomings of development programs should be noted. The first is that in some school systems evaluation results do not take place at all; the second is that evaluation frequently occurs to planners as an *afterthought*.

A plan of evaluation should be developed *concurrently with the definition of behavior change, selection of content, and design of the instructional methodology*. The plan should include gathering data on whether the problem on which the development project is focused has been resolved, and whether the learning transaction brought about the results intended in position performance. If the development problem is not resolved, modifications in development approaches to lead to the desired improvements are in order.

Types of questions used to evaluate whether or not the intended objectives of a development project have been achieved include

- (a) *Participant impact*. What has the project done to change the behavior of the participant?
- (b) *Position impact*. Did the participant's performance improve after he returned to the position setting?
- (c) *Organizational impact*. In what ways and to what extent do the development efforts contribute to the attainment of organizational goals?

This tridimensional perspective of development impact is illustrated in Figure 10.9. It depicts the linkage between development groups, objectives, and behavioral changes.

Examination of the foregoing questions brings into focus the need for specifying carefully the objectives of a development program and the related criteria by which they will be measured. If the objectives are not clear, difficulties in selecting or devising appropriate measuring tech-

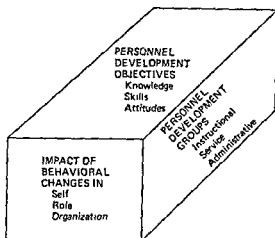


Figure 10.9. Development impact: a tridimensional perspective.

niques, or in judging whether the intended results were achieved, are foreseeable. For example, a school district is considering whether to grant X number of dollars of tuition money for each teacher completing X hours of graduate credit. It is obvious that the cost effectiveness of this program will be difficult to evaluate until it is known what specific results are anticipated by the governing officials. Thus, a graduate course that costs \$400 per teacher, but contains no stipulation as to specific development objectives, may be assumed to be high in cost (dollar outlay) and low in effectiveness (contribution to objectives of a specific effort per dollar expended).² Data contained in Table 10.4 are designed to point up the need for evaluating development programs in terms of cost effectiveness, and to indicate its application to the control function.

In brief, it can be said that if the mission of individual and organizational improvement is common to all school systems, then the foundation for the direction of improvement programs should be careful evaluation of each development effort in terms of its effectiveness; that is, in terms of its contribution to the objectives on which concomitant activities are focused.

Summary

The process of personnel appraisal, discussed in the preceding chapter, is not an end in itself; it is vital to an interrelated process—the develop-

² For an extended analysis of cost effectiveness, see George S. Odiorne, *Training by Objectives: An Economic Approach to Management Training* (New York: Macmillan Publishing Co., Inc., 1970).

ment of personnel. Clearly, personnel having the essential qualifications needed by most school systems are usually in short supply. Further, the appraisal process will probably reveal that certain incumbents have greater, and others less, ability than their assignments call for. Consequently, personnel development becomes every school system's business.

The basic process by which the system identifies and resolves personnel development problems is similar to other personnel processes examined in previous chapters. The several steps include clarification of development objectives, establishment of plans to achieve objectives, allocation of responsibilities, and appraisal of results.

Several concluding observations should be made about the personnel development process. Clarification of the general objectives of the program and of the roles of each of the operating units is essential to the success of the entire endeavor, because the development of each individual is related to the objectives of the unit to which he is assigned. Moreover, plans can be initiated only after the development needs of each unit have been clarified. Finally, the development process is interrelated with other personnel processes, including manpower planning, recruitment, selection, induction, and compensation. Only when the goals of the system and the objectives of each unit are established, and the several personnel processes integrated, does it become possible to achieve the results intended by the master plan for development. Self-development is critical to the performance of every individual in the system, to the effectiveness of the work group in which each is involved, and to the attainment of the system mission.

Compensation of Personnel: Fundamental Concepts

From development planning we turn now to analyze another of the personnel processes, *compensation*. The importance of remuneration policy to the personnel function can be judged from the following considerations:

- Salaries, wages, and benefits constitute the greatest cost in the school budget for current expenditures. Nine out of every ten dollars are allocated to compensation of people.
- The level of salaries, wages, and benefits in a school district is an important factor in attracting, retaining, and motivating personnel.
- The relative distribution of compensation among personnel affects their performance.
- Compensation is related to the satisfaction of needs of the staff member. His status in society and the school system, and his economic welfare are linked to his paycheck.
- Financial rewards constitute one of several key components of an organizational incentive system.
- The nature of compensation, the composition of the school staff, and rising expectations of personnel are constantly changing.

This chapter considers compensation as an integral part of the personnel function, one that is also related to other administration processes and subprocesses. Various steps in the compensation process are identified and analyzed. Also considered is the relationship of each step to the total process, as well as the link between compensation and other parts of the personnel function. Special remuneration problems relating to administrative and service personnel are placed in perspective in Chapter 12.

Purposes of the Compensation Process

One of the central tasks of educational administration is to allocate funds, facilities, personnel, and information in such a way that the dif-

ference in educational achievement between entering and leaving students is maximized. To that end, the general purpose of the compensation process is to allocate resources for salaries, wages, benefits, and rewards in a manner that will attract and retain a school staff with the skills called for in the interrelated pattern of positions established by the manpower plan.

A compensation system properly conceived and administered can make an important contribution to the attainment of specific objectives of the organization as well as to the individual satisfaction of its members. Goals to which the formal organization can gear its compensation planning include

- Attracting and retaining competent career personnel.
- Motivating personnel to optimum performance in present positions.
- Creating incentives to growth in individual competence.
- Getting maximum return in service for the economic investment made in the compensation plan.
- Developing confidence of personnel in the intent of the organization to build equity and objectivity into the compensation plan.
- Making the plan internally consistent and externally competitive.
- Relating compensation levels to the importance and difficulty of positions.
- Making salaries commensurate with the kinds of personnel the organization requires.
- Establishing a compensation structure conducive to the economic, social, and psychological satisfactions of personnel.
- Minimizing union and individual grievances.
- Exercising careful control over salaries, a budgetary item which generally encompasses four-fifths of the expenditure plan.
- Developing plans to ensure continuity of funds needed for an effective salary, wage, and benefit program.
- Minimizing personnel turnover.

The foregoing list of aims, it should be noted, pertains to all personnel in the employ of the organization. Although goals such as these are not difficult to state, establishing procedures by which they are attained is a more formidable task.

Analysis of these aims brings into focus the complexities involved in designing the compensation process needed in order to achieve them. In a formal organization, a satisfactory compensation plan is the basic element by which manpower requirements are satisfied. Without an effective compensation plan, all other system plans, programs, and processes lose their force.

It is no secret that there are unresolved problems in the compensation of school system personnel, that modern techniques for paying each in-

dividual fairly for the work he performs are less than satisfactory, that the basic assumptions underlying many salary and wage plans in education need revising. Undergoing constant modification are traditional views of the single-salary schedule, the concept of merit rating, uniform pay scales, and adherence to money as the sole means of satisfying and motivating personnel.

Because of its critical importance to the proper functioning of the school system, the compensation process must be constantly reviewed and reevaluated. Although its provisions are often the source of personnel irritation, frustrations, apathy, and criticism of the formal organization, the compensation process provides numerous opportunities for furthering the aims of the school system. This is especially true if the compensation structure is designed to enhance the satisfaction of human needs and to minimize the wide variety of complex human problems engendered by its necessity.

Perspectives on Compensation

A useful way of viewing employment is in terms of an *exchange* between the individual and the organization, in which each gets something in return for giving something. According to Belcher, compensation represents a transaction between man and organization involving an employment contract. The transaction may be viewed from each of the following perspectives:

Economic transaction: Payment for employee services is an economic transaction in which the purchaser attempts to obtain the greatest quantity and the highest quality for his money; the worker sells his services to obtain income, and holds out for the highest price he can command.

Psychological transaction: Employment represents a psychological contract between man and organization in which the individual exchanges certain types of desired behavior for pay and other sources of job satisfaction.

Sociological transaction: Compensation represents a sociological transaction because organizations are associations of persons and employment is an important relationship to both individuals and organizations.

Political transaction: Compensation represents a political transaction involving the use of power and influence.

Ethical transaction: Compensation represents an ethical transaction in terms of fairness to both parties.¹

¹David W. Belcher, *Compensation Administration* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1974), 2-15.

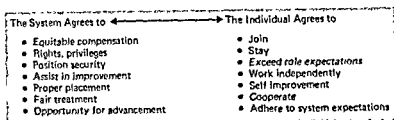


Figure 11.1. Conceptualization of the exchange theory of compensation.

The foregoing perspectives on employment as an exchange transaction leads to the generalization that the belief system that prevails in any organization with respect to compensation must take into consideration a variety of interrelated factors. As illustrated in Figure 11.1, the elements which determine the amount of money going into an individual's paycheck are not exclusively pecuniary. The employment exchanges between individuals and organizations are perceived differently by both parties. One of the major problems in compensation planning is to reach agreements between parties by reconciling the nature of the input-output relationship.

The Concept of Total Compensation

It has been noted previously that the administration of a compensation program involves more than a simple determination of payment to an individual for services rendered to the school system. Development of an orderly process of determining compensation and its payment includes consideration of the compensation policy of the school system, as well as development of principles and procedures to implement policy. As illustrated by the compensation structure shown in Table 11.1, compensation planning is concerned with all personnel at every position or job level in the school system, and with all phases of personnel compensation, including salaries, wages, collateral benefits, nonsalary payments, and noneconomic provisions. Obviously, total compensation planning is concerned with policies, structures, levels, methods of payment, position analysis and comparison, and appraisal of personnel performance. It encompasses psychological, sociological, philosophical, political, and economic issues. It is the responsibility of administration to design and administer the compensation process with a minimum of dissatisfaction to the individual staff member, the union, the school system, and the taxpayer. In doing so, consideration must be given to external factors that affect compensation, such as economic conditions, national crises,

Table 11.1. Illustration of a School System Compensation Structure

<i>Types of Remuneration</i>	<i>Group I Professional Teaching Personnel</i>	<i>Group II Professional Instructional Specialists</i>	<i>Group III Adminis- trative Personnel</i>	<i>Group IV Service Personnel</i>
Salaries	X	X	X	
Wages				X
Collateral benefits	X	X	X	X
Nonsalary or non- wage payments	X	X	X	X
Noneconomic benefits	X	X	X	X

federal and state legislation, and other current developments and trends that affect the ability of the system to attract and retain essential manpower.

Development of a sound compensation program has never been easy. Solutions to pay problems are influenced by dynamic forces, and complete reliance on formula does not provide satisfactory answers. As administrators become conscious of the need for greater emphasis on the development of sound compensation plans and processes, it is anticipated that attention will be given to analysis of each aspect of compensation and that decisions will be made in light of the various facets which comprise the total.

Before we undertake an analysis of the compensation process, a definition of several words and phrases used in this chapter is in order. The term *wages* refers to compensation paid for services to personnel who generally have no guarantee of employment throughout the school year. For the most part, wages are paid to hourly-rated personnel. *Salary*, on the other hand, is a term used to describe compensation for work of professional, supervisory, and clerical personnel whose contract usually stipulates weekly, monthly, or annual compensation. A salary usually carries greater assurance of steady compensation. *Collateral benefits* are direct or indirect forms of compensation, and generally apply to all personnel; they do not require additional services to be performed beyond those required under the basic compensation structure. *Nonsalary payments* include extra payments to professional personnel for extra work, overtime hourly wages to service personnel, and merit or incentive payment of any kind. *Noneconomic benefits* are sometimes referred to as psychic income. They include a variety of satisfactions available to personnel in addition to financial rewards, such as recognition, position security, latitude for initiative, appreciation, status symbols, privileges, authority and power, information, proper and pleasant physical facilities

in which to work, absence of close supervision, and position compatibility. The *compensation structure* refers to the interrelated provisions governing salaries, nonsalary payments, wages, collateral benefits, and non-economic benefits of school personnel. Structures create differentials in compensation within, between, and among positions and position levels, and may be viewed as a hierarchy within which wages and salary levels for the school system are established.

The Compensation Process

As illustrated in Figure 11.2, the compensation process conceptualized in this chapter consists of six subprocesses:

- Developing compensation policies.
- Establishing the position structure.
- Determining the economic value of positions.
- Determining the economic worth of position-holders.
- Establishing administrative procedures.
- Controlling the process.

For clarity and analysis, each of these six subprocesses is discussed as though it were a clearly identifiable step in an orderly sequence of

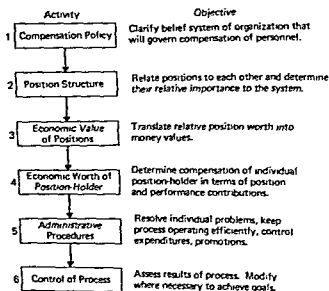


Figure 11.2. Model of the compensation process.

activities. In the real world, however, the compensation process is not as orderly as that illustrated in Figure 11.2. The analysis contained in this chapter is designed to familiarize the reader with the principal forces, factors, and conditions which must be reckoned with and reconciled in compensating school personnel. It is well to bear in mind that each of the subprocesses identified in Figure 11.2 contains problems concerning salaries and wages, and their resolution affects the caliber of the compensation system. So interdependent are the various facets of the compensation process that proper solution of the problem relevant to each cannot be left to chance or treated in isolation.

Compensation Policy

As illustrated in Figure 11.2, the genesis of an effective plan for administering salaries and wages in any organization is compensation policy. This is to say that the governing body of the organization should stipulate in writing its intent with respect to the compensation of all personnel. Such a statement indicates, in general terms, the position of the highest authority in the organization on personnel compensation. In order to illustrate the importance of a statement expressing compensation policy, consider the illustration in Figure 11.3.

Examination of the policy statement on compensation in Figure 11.3 indicates that it sets forth the intent of the organization with respect to the treatment of personnel in matters pertaining to salaries and wages. In addition, it can serve as a general guide to the development of procedures for implementing the compensation plan. It is true that a policy cannot possibly be so precise that it tells school officials exactly what decisions to make on numerous problems that develop in connection with compensation. But this is not its purpose. Policy is a general guide to the goals of the organization—a tool for making actions consistent and

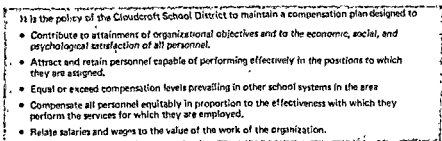


Figure 11.3. Illustration of a compensation policy statement.

for systematizing the manner in which the organization as a whole deals with problems.

POLICY GUIDELINES

The compensation policy of a school system indicates its intent with reference to compensation obligations and responsibilities. In the following text several guides have been identified for implementing compensation policy in a local school district. These guides are intended to make clear how derivative plans are linked to general policy, and how indispensable policy is to effective compensation planning.

- *The compensation structure should be designed to include personnel working in every capacity, regardless of income level or position responsibility.* Preoccupation with the master or basic salary schedule for teachers in local school systems is so pervasive that systematic schemes for compensating administrators and service personnel often come as an afterthought. The levels and forms of compensation for each personnel category should be competitive with those in the marketplace from which the system must recruit its membership. Competition in the labor market for all types of highly qualified personnel would seem to be reason enough to justify the principle under consideration, although there are many other purposes to be served by development of a comprehensive compensation for all personnel.
- *Position guides should be prepared for all positions, professional or service, in the school system.* This principle is based upon the assumption that a fairly determined salary or wage must be based upon position information, including responsibilities of the position, work elements, scope, climate and conditions under which work is performed, authority, relationship to other positions in the organization, experience, preparation, skills, and other qualifications clearly essential to proper determination of salary.
- *Income levels for all positions should be competitive, in keeping with the duties and responsibilities of the position, and sufficiently high to attract and retain the caliber of personnel capable of performing the service for which they have been employed.* It is recognized that implementation of this principle is not without practical problems. Competitive salaries and wages for school personnel depend on the interplay of three factors: what the community is able to pay, what it is willing to pay, and what it is compelled to pay. To a large extent the answer lies in an enlightened citizenry which understands the social implications of adequate salaries for school personnel. To

make this principle fully operative, coordinated governmental action—federal, state, and local—is necessary, along with vigorous professional efforts to define and support means for achieving appropriate income levels.

- *Satisfactory service should be the criterion for advancement in income.* Salary and wage increases should be granted on the basis of satisfactory service, whatever the level of income or position responsibility. Individuals should advance in income only as they actually prove their value. It is hardly the intent of compensation plans to make financial rewards automatic, regardless of the nature of the contribution the individual makes to attainment of purpose.
- *Quality of service should be rewarded.* This principle supports the belief that those school agents who make outstanding contributions to position and organizational objectives should be rewarded financially. Although there is considerable agreement that the principle is sound, there is controversy over the fairness, validity, and reliability of implementation procedures currently employed. Some think that we do not know what constitutes quality in instruction; others think we know what quality of teaching performance is, but have no way of measuring it. And still others contend that any plan for rewarding quality of service will have a harmful effect upon teacher morale and level of performance. There is no question that much remains to be done to improve methods for appraising the performance of school personnel, especially teaching effectiveness. It is also granted that an attractive salary schedule is essential to the success of any plan for rewarding competence. It would appear to be a mistake, however, to assume that existing obstacles to rewarding outstanding performance are so great that they can never be overcome; that experimentation in any form of financial rewards is futile. High and equal pay for unequal performance is an assumption so contrary to logic that its defenders are in a very poor position.
- *Collateral benefits should be an inherent feature of the compensation structure.* The personnel benefit program has become a recognized aspect of occupational life in much of the civilized world. Because public education must compete in the manpower market for qualified personnel, it must recognize its obligation to provide, as an essential part of the compensation structure, collateral benefits that are as competitive and attractive as those provided by other organizations who compete for educational personnel.
- *Noneconomic benefits, or psychic income, in a variety of forms, should be conceived as an integral part of the compensation structure.* In the complex network of subprocesses designed to compensate school personnel, financial rewards constitute an important but not the sole means of satisfying the needs of some individuals. Psychic

income, or noneconomic rewards, should be planned as an essential part of the compensation process to facilitate its effectiveness. The contribution of psychic income to need satisfaction, including recognition, appreciation, status symbols, special commendations, transfer to more attractive work, and psychological security should be understood by all administrators and utilized to provide job satisfaction. To a significant degree, certain types of psychic income can be used to meet social, self-expression, and security needs which cannot be satisfied solely by money. It is in this connection that reference should be made to a study reported by Spuck,² which refers to the compensation structure as a reward structure consisting of the eight reward categories shown in Table 11.2. This exploration of reward structures in public high schools suggests, among other things, that intrinsic incentives are highly related, individually and in combination with other reward categories, to all three employee behaviors

Table 11.2. *Intrinsic, Extrinsic, and Environmental Incentives in the Compensation Structure*

<i>Reward Categories</i>	<i>Reward Classification</i>	<i>Explanation</i>
Material inducements	Extrinsic	Monetary rewards
Supported recognition of community	Environmental	Extent to which individual feels he belongs and is respected by others
Physical conditions	Environmental	Modern facilities, custodial service, availability of supplies and equipment, physical comfort, school attractiveness
Pride of workmanship	Intrinsic	Sense of accomplishment, service to clientele
Social interaction with peers	Intrinsic	Positive social relationship with peers
Agreement with district goals and policies	Intrinsic	Degree to which district policy and practices are commensurate with individual's value system
Ability to influence school policy	Extrinsic	Extent to which an individual possesses power and is able to influence policy
Environmental working conditions	Environmental	Manner in which classes are assigned, types of students assigned to classes, teaching flexibility

Source: Spuck, *loc. cit.*

² Dennis W. Spuck, "Reward Structures in the Public High School," *Educational Administration Quarterly*, 10:1 (Winter 1974), 18-34. (See Table 11.2 for listing of reward categories and reward classifications.)

included in the study: *recruitment, absenteeism, and retention*. The findings also emphasize the importance of intrinsic motivators in professional organizations and suggest basic differences in motivational patterns between professional and production oriented organizations.

- The compensation structure should be concerned with contributing in a positive way to motivating personnel at all levels to perform effectively and to enable them to achieve their aspirations in a framework of equity, achievement, and administrative and technical rationality.
- The compensation structure should be planned so that it will gain personnel and public acceptance. Personnel must be able to perceive the structure as one that is fairly designed and impartially administered. The public must perceive the structure as one it can support financially, and one that is conducive to attracting the quality of personnel needed to educate its children and youth properly.

Position Structure and the Compensation Process

As indicated by the model of the compensation process portrayed in Figure 11.2, information relating to the position structure is an indispensable element in developing compensation plans. As a matter of fact, there are two critical information inputs essential to the design of a compensation structure, as shown in Figure 11.4. The first input relates to information about the position. Facts about this component are needed to establish both its organizational and economic value. The second input relates to information about the position-holder, more specifically, his

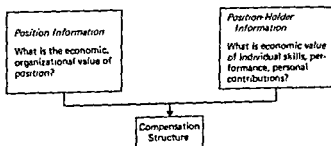


Figure 11.4. Relationship of position and people information inputs to compensation structural design.

skills, performance, and personal contributions, so that the economic worth of the position-holder can be established.³

Hence, one of the major steps in the development of a compensation structure for educational personnel is an analysis of the positions that have been created to conduct the work of the school system. Before a sound compensation structure can be developed, the economic value of positions established, and judgments made about the economic worth of position holders, information relating to these questions must be gathered:

- How many positions have been established in the school system?
- What is the function of each position?
- What elements in the position distinguish it from other positions?
- What position clusters exist within the organization hierarchy?
- What is the relative importance of the several position clusters within the organization structure?
- What is the relative importance of positions within the clusters?

Examination of the foregoing questions indicates that the problem of developing a position structure in a school system as the basis for compensation involves a determination of relative values through some form of position appraisal.

In order to place a value on any position, a description of what is involved in its performance is essential. The skills needed to perform the work associated with the position, duties of the position-holder, and the amount of responsibility inherent in the position are factors usually taken into consideration in making judgments about its relative value in the position hierarchy.⁴

In many school systems the *position cluster concept* has become the basis for determining the position structure. Cluster groups of personnel within a school system include administration, professional classroom teachers, professional educational specialists, and service personnel.⁵ As a consequence, consideration must be given to the relative importance of positions within a cluster and between the clusters. Adherence to the cluster concept usually eventuates in multiple pay plans rather than comprehensive ones. Under the multiple pay plan, as with most other plans, there is a minimum and maximum rate or salary, with possibilities for individuals to move through the salary range by virtue of automatic or merit increases.

³ For an extended discussion of personnel contributions to the organization, see Belcher, *op. cit.*, 85.

⁴ For an illustration of a position guide, see pp. 177, 283.

⁵ Professional specialists, including librarians, psychologists, counselors, and home and school visitors are linked to the teachers' salary schedule in many school districts.

It is readily apparent that there has always been and will continue to be conflict about the relative importance of positions in any organization. Moreover, it is clear that scientific determination of the relative and absolute value of an individual position to the total operation of a school system is virtually impossible. The point to be stressed here is that the position structure in any organization continues to be the basis for making a wide variety of decisions about the compensation structure. Because conclusions about the position hierarchy and the resultant compensation plan are derived through the exercise of human judgment, conflict should be anticipated. What is extremely important, however, is that techniques employed for solving the problem of position structure should be the best available, the best that can be conceived; and that provision be made for consideration of misjudgments, inequities, and structural obsolescence.

Economic Value of Positions

Let us assume that the relative values of the positions in a school system have been decided according to some type of position evaluation procedure, and that this procedure has been employed to establish a position hierarchy. This means that those positions involving greater responsibility and difficulty will be valued higher and receive higher compensation than those of less difficulty and responsibility. The administration personnel position cluster, for example, will be valued relatively higher than the service personnel position cluster. Within the position cluster, the position of superintendent of schools will be valued more highly than the position of elementary school principal. As explained in the section which follows, the compensation structure is the relationship between position values and salaries.

COMPENSATION LEVELS

Having established the position hierarchy in a school system, the next step in the compensation process, as shown in Figure 11.2, is to place an economic value on the positions in the hierarchy. More specifically, dollar values must be linked to the positions, usually in the form of minimum and maximum amounts, with provisions for automatic or merit increases within the salary range of each position cluster.

The ultimate decision regarding compensation levels in a school system is based upon a number of interrelated factors, including compensation legislation, prevailing salaries, collective negotiations, supply and de-

mand, ability to pay, standard and cost of living, national productivity, and collateral considerations.

Although all of the foregoing factors enter into the compensation levels established in an organization, some factor or combination of factors may be more important at a given time than others, depending upon circumstances. The connection of each of the foregoing factors to the establishment of basic compensation levels in a school system is our next concern.

COMPENSATION LEGISLATION

Prior to the formulation of a compensation structure, consideration should be given to system compliance with federal, state, and local laws or regulations governing personnel salaries and wages. The majority of states now have minimum salary laws for public-school teachers. The various statutes in the several states provide several different types of minimum salary requirements and widely differing amounts of salary. A number of states have established legal provisions for positions other than regular classroom teachers in their minimum salary laws. These include superintendents, principals, supervisors, vocational teachers, substitute teachers, and nurses.

In addition to those for professional personnel, there are legislative provisions, both state and federal, governing salaries, wages, and collateral benefits of service personnel. The original intent of salary, wage, and benefit laws was to establish a floor under compensation to maintain reasonable subsistence levels. In recent years, however, pay scales established by law for educational personnel have served as a useful device for improving salary standards and for raising compensation levels generally. It is generally assumed that legislation has an impact, directly or indirectly, on the pay levels and related benefits established in the local school compensation structure.

As of July 1, 1972, the protection of the Equal Pay Act of 1963 [Pub. L. 88-38, 77 Stat. 58, 29 U.S.C.A. §206 (d)] as administered by the United States Department of Labor, Employment Standards Administration, was extended and made applicable to certain employees otherwise exempt, including administrative and other professional personnel in the public schools.* Salient provisions of the Act and amendments as they relate to school personnel include the following:

* Section 13 (a) of the Fair Labor Standards Act of 1938, as amended, was further amended by Public Law 92-318, the Education Amendments of 1972, 82 Stat. 235, 86 Stat. 375, approved June 23, 1972 and effective July 1, 1972.

- The Fair Labor Standards Act, as amended, is a Federal Statute of general application which established minimum wage, overtime pay, child labor, and equal pay requirements affecting employment of all public-school personnel.
- The validity of a claim based on an alleged violation of the Equal Pay Act is determined on the basis of the following four elements: (1) equal skill; (2) equal effort; (3) equal responsibility; (4) equal conditions.
- Exceptions are provided in the Equal Pay Act where it can be shown that the wage differential is based on a seniority or merit system, a system measuring earnings by quantity or quality of production, or on any other factor other than sex.

The administrative implications of the Equal Pay Act for school systems are numerous and far-reaching. In order to minimize legal entanglements stemming from violations of the Act, the time of school officials would be well spent in examining the following questions relating to personnel compensation procedures:

- Are there clearly defined, written compensation schedules for all classes of professional (teachers, specialists, administrators) and service personnel?
- Does the compensation structure contain equitable provisions for all classes of personnel (salaries, wages, collateral benefits, and non-salary or nonwage provisions)?
- If there are performance requirements relating to compensation, will they withstand legal scrutiny?
- To what extent has the organization carefully prepared position guides for all classes of personnel?
- To what extent has the organization dealt with the problem of position complexity? By way of illustration, has the school system developed a plan for equitably compensating principals where there are considerable differences in the enrollment, breadth of program, staff, pupil attendance, and pupil mobility of the schools they administer?

PREVAILING SALARIES AND WAGES

The geographical location of a school system has a certain relationship to compensation levels. There are wide differences in compensation between and within states and regions. It is usually very difficult for a school system to attract and retain the kind of personnel it needs if its

compensation levels vary to any considerable extent below those paid by other systems in the same vicinity. Annual salary and wage surveys are used extensively by unions and other personnel associations to determine whether the system to which they belong is "paying the going rate." Consequently, it becomes necessary for each school system to determine for itself how its pay plan is affected by those of other systems.

In addition to the influence of geography on salaries and wages, it is also apparent that compensation levels in a local system tend to conform to the salary and wage pattern in the field of education generally. Despite differences among school systems in compensation levels, there is considerable uniformity in pay practices; this is the result of competition, union or personnel association pressures, and legislative provisions.

COLLECTIVE NEGOTIATIONS

It was noted earlier that the areas within which boards of education can make decisions independent of unions or personnel associations have narrowed considerably during the past decade. The compensation process is no exception. Indeed, the primary concern of personnel organizations has generally been one of finance.

Collective bargaining most assuredly has an impact on all aspects of the compensation process in a local school system, even though its extent and long-term influence are sometimes difficult to demonstrate. Matters frequently negotiated include not only the minimum and maximum salaries for a given level of preparation, such as a bachelor's or master's degree, but salaries or wages to be paid for specific positions.

It is generally agreed that concessions in salaries, wages, and collateral benefits are standard economic bargaining objectives. Also apparent is the fact that of all the problems in personnel administration, wages and salaries are subjected to the greatest internal and external pressures. Moreover, school officials must expect constant challenges to existing compensation levels by more than one personnel group. In addition to teacher associations, within some school systems there are personnel associations representing secretarial, transportation, custodial, and food service employees. Thus, continuing pressures relating to compensation levels deriving from social and political forces operating in the collective bargaining environment seem to be inevitable.

The likelihood that the collective bargaining process will pass from the organizational scene appears to be remote. The use of criteria for determining compensation levels, however, makes it possible for school administrators to deal with some of the complex questions in a more systematic manner. Criteria for judging the compensation levels, several

of which are examined in this chapter, provide a direction for gathering facts and observations to deal with the issues. In short, the determination of salaries by collective bargaining has reached the stage where it can be institutionalized, rationalized, and systematized, even though the process will never be so scientific as to make human judgments unnecessary.

Collective bargaining, it should be noted, is perhaps the most important of the factors under consideration in setting basic salary and wage levels in the compensation structure. The collective negotiations process, examined in detail in Chapter 13, becomes a mechanism for periodic testing of the relative bargaining strength of two parties, and the outcome is largely responsible for the compensation levels that will be in effect during the period of the contract.

SUPPLY AND DEMAND

Pervading the professional salary problem of compensation levels in education is a determinant that, in the opinion of many students of the matter, has not been given proper emphasis. In the long run, salaries and wages are determined by the supply of and demand for a given quality of service. This means that the price of labor tends to be set by the interaction of the number of potential employees who have the desired competence, and who can be induced to sell their competence at certain rates of compensation, and the effective demand for such personnel, as interpreted by employers and expressed by them through salary offers and related perquisites.

Many analyses of the compensation problems of teaching personnel say much the same thing: that desired economic levels in education will not be achieved until professional standards are strengthened. This has been the history of every profession. Until education begins to make entry into the ranks more restrictive, and to extend the length and intensity of preparation, it will suffer from economic malnutrition.

Before a clear-cut solution to the problem of respectable compensation for educators is achieved, the profession must find remedies to a complex mix of social and economic problems. The matter we have been considering—professional control over the supply of professional personnel—ranks high among the conditions in need of regulation if the economic status of school personnel is to be improved.

Thus, the basic laws of economics, especially the law of supply and demand, enter into a determination of the levels of the compensation structure. Their influence continually shapes the definition and re-definition of the wages and salaries constituting the pay structure.

ABILITY TO PAY

Economic levels of compensation for school personnel are undeniably influenced by what a community is able to pay, willing to pay, and forced to pay in order to retain the competent staff needed in the system. In many instances, the local district has no direct control over its ability to pay or what it must pay. What it is willing to pay is generally influenced by community expectations for the education of its children and youth.

The system by which the nation's school districts are organized should be included in the list of ability determinants. Many school administrative units, because of size or geographical location, do not have the financial ability to maintain anything resembling a comprehensive educational program. Because community size and the level of preparation of school personnel are positively related, it is not surprising that in small school districts, where salaries are relatively low, levels of staff preparation are frequently less than satisfactory.

These conditions create competition for school personnel among districts which do little to improve, and often retard, economic betterment in education. Frequently, this situation leads to restricted competition among the least qualified personnel for low salaries.

As school systems are reorganized into larger units which are capable of providing comprehensive programs of education, tax systems at all levels of government need to be overhauled to provide economic assistance to schools. The billions of dollars lost in the federal tax system by congressional willingness to maintain tax loopholes, for example, would contribute materially toward initiation of a national support program for public education, which in turn would help to improve the economic status of school personnel.

Revamping of state and local tax systems is long overdue. Improvement of the administration of the local property tax, upon which local schools are so heavily dependent, would yield many millions of dollars sorely needed by education. Antiquated tax and debt limitations need to be modernized to permit local schools more fiscal flexibility. Unnecessary state budgetary controls and other financial restrictions, as well as state school-support plans, could be added to the foregoing list of conditions which, if remedied, would help provide economic resources so vital to the cause of public education.

NATIONAL PRODUCTIVITY

In the middle of the seventh decade of the twentieth century, education is the major occupation of about 62.2 million people in the United

States. Expenditures for regular schools, public and private, exceeded \$108 billions. Included in the 62.2 million total number of people are 58.9 million students enrolled in schools and colleges, 3.0 million teachers, and about 300,000 superintendents, principals, supervisors, and other instructional staff members. Thus, in a nation of 212 million people, nearly three out of every ten persons are directly involved in the educational process. Education may be considered as a service that influences and is influenced by the national economy. National productivity is an important determinant of salaries and wages in education.

There is every reason to believe that increases in salaries and wages in education respond to growth in the national economy. The demand for education, national productivity, ability to pay, manpower supply, and other factors will interact to increase salaries in education.

STANDARD AND COST OF LIVING

Like the ability-to-pay criterion, the standard of living and the cost of living affect the general level of economic compensation, but do not indicate the monetary value of positions or what individuals occupying positions should be paid. *Standard of living* may be defined as the actual volume of goods and services a family unit consumes in a given period of time. The *cost of living* refers to the changes in the cost of essentials that the family buys out of its income. Both concepts are employed from time to time to influence increases in compensation levels. It has frequently been observed that personnel groups are inclined to pressure for the use of a cost-of-living index in determining salary levels when the cost of living is escalating at a rapid rate. During the periods of price stability, however, other criteria are generally favored. Cost-of-living indexes for adjusting compensation levels have not been widely employed in public education. Nevertheless, standard and cost of living cannot be ignored in considering compensation levels of personnel, even though they are not considered to be critical elements in making judgments about the economic value of individuals holding the positions. Further, standard of living is often rejected as a criterion in compensation decisions by school officials because of a preference to base salaries and wages on individual contributions rather than on need.

RELEVANT ORGANIZATIONAL VARIABLES

In addition to the variables listed previously as determinants of compensation levels, additional elements within the organizational setting usually must be taken into account. The difficulty in recruiting and

keeping classroom teachers in large urban school systems, because of dangerous or unpleasant working conditions, has had an impact on compensation levels. Not only have difficult working conditions contributed to increases in compensation levels in large cities; differentials have been established for teachers working in schools in ghetto neighborhoods. In addition, certain skills may be in short supply, in both professional and service personnel categories. Positions such as industrial arts and vocational education teacher, education programmer, computer technician, and skilled maintenance worker are examples of positions which require special consideration in designing the compensation structure.

Economic Worth of Position-Holders

We turn now to the next step in the compensation process which, according to Figure 11.2, is the determination of the economic worth of individuals who hold positions in the school system. This step, it has been noted, takes place after the relative worth of positions within the several personnel clusters has been determined, and after general salary policy and overall compensation levels have been established. Involved in determining compensation policy and levels are factors cited previously, including salary and wage legislation, prevailing pay plans in both the profession and in the geographic area, standard and cost of living, ability to pay, supply and demand, and collective negotiations.

Once the basic compensation levels have been established for each of the clusters of personnel groups in a school system (classroom teachers, specialists, administrators)⁷ several decisions must be made, including

- Positions to be allocated to each of the established personnel salary clusters.
- Size and number of pay intervals in each salary plan.⁸
- Differentials among the several salary cluster plans.
- Actual dollar amounts to be assigned to pay intervals *within each plan*.
- Criteria for moving through the salary range.
- Adjustments for individuals whose compensation is *not* in keeping with the design of the pay plan.

⁷ An alternative to the position-cluster idea is the single-salary schedule, which includes all personnel in the system, from custodian to superintendent of schools. Under this plan, all positions on the payroll are ranked in order of importance or responsibility.

⁸ In pay structures for service personnel, rate width and overlap are elements usually given consideration in designing pay intervals.

ESTABLISHING THE PAY STRUCTURE

Regardless of the manner in which positions in a system are valued, the ultimate objective is to establish proper compensation for positions as well as for individuals holding the positions. Because the majority of school personnel in any system is composed of professional classroom teachers, and because this personnel salary cluster claims the greatest share of current school expenditures in the budget, the following discussion will focus upon pricing of the salary schedule for professional classroom teachers. Compensation plans for administrators and service personnel will be examined in Chapter 12.

SINGLE SALARY SCHEDULE

Salary schedules in education traditionally have been based upon merit, position, roles performed, rank and subject field, as well as preparation and experience, or some combination of these elements. Currently, the most prominent plan is the *single salary schedule*. Adoption of the single salary schedule, which means equivalent salaries for equivalent preparation and experience, has been almost universal in urban school systems. The position type schedule, which bases salaries on classification of positions within the school system (elementary, middle, junior, senior schools), has lost favor over the years, mainly because the assumptions upon which it was based were unacceptable to most school personnel.

The assumptions behind the single salary schedule, the criteria for pricing the schedule, and its strengths and limitations may be judged by examination of the illustration shown in Table 11.3. The assumptions underlying this type of pay structure include the following:

- Salaries for teachers should be scheduled and paid solely on the basis of professional preparation and experience.
- Teacher effectiveness increases with experience and preparation.
- All positions are equal in importance and responsibility.

All assumptions, it should be noted, are challengeable. Despite the fact that the single salary schedule can be criticized on numerous grounds, it is a deep-rooted compensation procedure in American education. Boards of education have found it easy to understand, to administer, and to utilize in their budget preparation. Teachers and unions have favored its retention because pay progression through the salary range is virtually automatic and does not place primary emphasis upon performance appraisal. Moreover, the schedule illustrated in Table 11.3 is less expensive than those containing variable starting salaries and merit

Table 11.3. Illustration of Conventional Teachers' Salary Schedule

Years of Experience	Preparation Level		
	B.A.	M.A.	M.A. + 30
0	Base Salary (B)	$B + \text{Prep. Incr. } (P)$	Base $2P$
1	$B + \text{Experience Increment } (E)$	$B + E + P$	$B + E + 2P$
2	$B + 2E$	$B + 2E + P$	$B + 2E + 2P$
3	$B + 3E$	$B + 3E + P$	$B + 3E + 2P$
4	$B + 4E$	$B + 4E + P$	$B + 4E + 2P$
5	$B + 5E$	$B + 5E + P$	$B + 5E + 2P$
6	$B + 6E$	$B + 6E + P$	$B + 6E + 2P$
7	$B + 7E$	$B + 7E + P$	$B + 7E + 2P$
8	$B + 8E$	$B + 8E + P$	$B + 8E + 2P$
9	$B + 9E$	$B + 9E + P$	$B + 9E + 2P$
10	$B + 10E$	$B + 10E + P$	$B + 10E + 2P$
11	$B + 11E$	$B + 11E + P$	$B + 11E + 2P$
12	$B + 12E$	$B + 12E + P$	$B + 12E + 2P$

Interpretation: Base salary (B) = \$9500. Experience increment (E) = \$300. Preparation increment (P) = \$500. Teacher with M.A. + 30 and five years of experience would receive $B + 5E + 2P = \$9500 + \$1500 + \$1000 = \$12,000$.

increments. This observation is worth making here: the conventional schedule shown in Table 11.3 does not utilize a reward pattern, which allows the application of extrinsic rewards (see pp. 314-315 for explanation) to teachers on the basis of performance. The conventional reward structure distributes extrinsic rewards uniformly to all personnel, which may account in part for the relatively unimportant impact they have on influencing personnel performance positively.

INDEXED SALARY SCHEDULES

In developing compensation plans for teaching personnel, increasing use is being made by school systems of an *index or ratio salary schedule*. As illustrated in Table 11.4, this is a technique by which a system of multipliers is used to establish experience increments and preparation differentials in relation to a base salary. Index salaries may be used for administrative and service positions, as well as for instructional personnel. Among the advantages of this approach:

- Schedule planners can concentrate on the development of factors to be incorporated in the compensation structure before establishment of dollar values.
- Structural interrelationships can be understood more readily.
- The plan can be expanded to develop a comprehensive schedule for all personnel on the payroll.

Table 11.4. *Illustration of a Simple Index Salary Schedule*

Years of Experience	Preparation Level		
	B.A.	M.A.	M.A. + 30
0	Base Salary B	$B + \text{Index Preparation Increment } (P')^\dagger$	$B + 2P'$
1	$B + \text{Index Experience Increment } (E')^*$	$B + E' + P'$	$B + E' + 2P'$
2	$B + 2E'$	$B + 2E' + P'$	$B + 2E' + 2P'$
3	$B + 3E'$	$B + 3E' + P'$	$B + 3E' + 2P'$
4	$B + 4E'$	$B + 4E' + P'$	$B + 4E' + 2P'$
5	$B + 5E'$	$B + 5E' + P'$	$B + 5E' + 2P'$
6	$B + 6E'$	$B + 6E' + P'$	$B + 6E' + 2P'$
7	$B + 7E'$	$B + 7E' + P'$	$B + 7E' + 2P'$
8	$B + 8E'$	$B + 8E' + P'$	$B + 8E' + 2P'$
9	$B + 9E'$	$B + 9E' + P'$	$B + 9E' + 2P'$
10	$B + 10E'$	$B + 10E' + P'$	$B + 10E' + 2P'$
11	$B + 11E'$	$B + 11E' + P'$	$B + 11E' + 2P'$
12	$B + 12E'$	$B + 12E' + P'$	$B + 12E' + 2P'$

Interpretation: Base salary (B) = \$9500; Index experience increment (E') = $.032 \times \$9500 = \304 ; Index preparation increment (P') = $.054 \times \$9500 = \513 . Teacher with M.A. + 30 and five years of experience would receive $B + 5E' + 2P' = \$9500 + \$1520 + \$1026 = \$12,046$. Note that unlike those employed in the conventional teachers salary schedule (Table 11.3), the increments in the index salary schedule change when the base salary is adjusted upward or downward.

* The index experience increment (E') is obtained by multiplying the base salary by a constant such as .04, selected to reflect the value of each additional year of experience.

† The index preparation increment (P') is obtained by multiplying the base salary B by a constant selected to reflect the value at each additional level of preparation.

- Dollar amounts can be altered without modifying established relationships for preparation and experience.
- School systems can make more rational use of available funds by allocating monies to the preparation and experience factors. In an index system, increments to the base salary are fixed percentages of that salary instead of fixed dollar amounts. Note that the results of applying the procedures illustrated in Tables 11.3 and 11.4 are similar when a single salary schedule is employed. The advantage of the index schedule (Table 11.4) becomes evident when application is made to dual or multiple schedules based on differing starting salaries, or when adjustments to the base salary need to be made for the cost of living.

Table 11.5 illustrates another form of an indexed salary schedule, namely the *compound index*. This schedule, like those illustrated in Tables 11.3 and 11.4, is based upon three factors: base salary, preparation, and experience. As in the simple index schedule (Table 11.4), selected percentages of the starting salary are added to that salary, but the rate of each annual incremental increase for preparation and ex-

INDIVIDUAL PAY ACTIONS

After the position hierarchy in the school system has been established, position values are converted into monetary values, whereby a specific rate or salary is established for each position. Frequently, a salary or wage range is established with a minimum and maximum figure for each position classification. After the salary or wage ranges are decided upon, the specific salary within each range must be determined. Various methods are employed to determine how the individual shall progress from the lowest to the highest point in the salary or wage schedule. Factors used to determine pay progression vary, depending upon position classification. Teachers, for example, usually progress through the salary range on the basis of two factors, preparation and experience. For service personnel, seniority and characteristics assumed to be associated with satisfactory performance are often used to determine salary increases.

Methods used to administer the salary increase program include automatic, across-the-board, cost-of-living, merit, and combination increases. In some school districts there are procedures which stipulate that an individual cannot be denied an automatic increase more than once, the implication of which is that marginal performers should be separated from the organization. To a considerable extent, then, the initial salary or wage of each position is determined by the position; subsequent increases are based upon the individual's performance. Placing a dollar value on a position is impersonal, for it takes into consideration the worth of the position to the system. Determining the *individual pay* of a position holder, however, involves decisions as to whether differentials shall be established for individuals holding positions of similar value. Differences in individuals' total compensation may be owing to automatic differences in salary within ranges, or to discretionary performance-pay increases.

PERFORMANCE PAY INCREASES

The advantages and disadvantages of including some form of merit in salary and wage schedules have been so widely reported during the better part of the past four decades that it appears superfluous to repeat them here. The real difficulty in relating compensating to individual performance is one of performance appraisal, a central problem out of which others evolve, including such questions as what should be appraised, who should appraise, what means should be used to appraise, and by what means should appraisals be translated into monetary values.

Those who advocate relating quality of service to compensation do so

largely on the grounds that personnel differ in the quality of service that they render, that these differences must be reckoned with financially in order to attract and retain professionally effective personnel. The argument has force, and despite opposition, persists.

That professional performance as a factor in teachers' salaries will be neither universally accepted nor rejected appears to be a reasonable assumption. It is to be anticipated that experimentation in relating compensation to performance will continue. The prolonged controversy over merit rating points to the need for increasing experimentation to test and improve the procedures which have been developed. A summary of salient points regarding the use of merit recognition in the personnel compensation structure would include the following.

- Appraisal of personnel performance is not a matter of choice in a school system. It takes place during personnel selection, probation, change of status, and usually with changes in experience and educational preparation (for the purpose of determining salary increments).
- Systematization of the appraisal process does not make the process precise and objective, nor does it eliminate value judgments.
- Experimentation with merit rating for more than a half-century in public education has produced no clear-cut evidence or consensus as to its ability to improve the performance of personnel.
- Until recent years, *performance* in most positions in a school system had not been measured directly. Consequently, activities associated with personnel *effectiveness* had been identified and appraised. *Services rendered* were thus the primary focus, rather than *services received*.
- The crux of the difficulty in linking compensation to individual performance is the method of appraisal.
- Appraisal plans in school systems and other organizations have been applied largely to salaried personnel, especially teachers and administrators.
- Unions and personnel associations have been reluctant to accept the basic assumptions underlying merit rating.
- Modern appraisal approaches are abandoning plans that involve evaluation of personal characteristics in favor of those that encourage setting forth organizational expectations; that set standards or goals for each position through the use of position guides; that judge how well the individual achieves position expectations; and that determine pay progression on the individual's demonstrated ability to achieve the expectations set forth for the position.

As the general level of salaries for school personnel increases, greater demand for improvement of professional performance should be an-

ticipated. Staff members within the local school system, working co-operatively, must assume the major role in formulating appraisal plans and procedures for the improvement of teaching and learning. In connection with performance appraisal, Lawler states that jobs must possess three characteristics if they are to arouse higher-order needs, and if they are to create conditions wherein it will be expected that good performance will lead to intrinsic rewards. These characteristics are that (1) the individual must receive meaningful feedback about his performance; (2) the job must be perceived by the individual as requiring him to use abilities that he values in order for him to perform effectively; (3) the individual must feel he has a high degree of control over setting his own goals and over defining the paths to these goals.⁹ The nature of the appraisal problem demands continuous and extensive experimentation involving a wide variety of appraisal techniques. If significant advantages can be attained by linking salaries and performance, such as improved teaching, attraction and retention of personnel, increased public support, and greater desire for professional improvement, the possibilities seem too attractive to reject categorically.

Collateral Benefits

In addition to the monetary reward an individual receives from the basic salary schedule, another form of reward is the collateral benefit. A collateral, or *fringe benefit*, as the term is used herein, refers to certain direct or indirect forms of compensation initiated by the board of education, generally on behalf of all personnel, which do not require additional services to be performed by personnel beyond those required under the basic compensation structure. Various kinds of collateral benefits are listed in Table 11.6. As a broad generalization:

- Collateral benefits policies in public schools are generally kept separate from compensation policies.
- Certain benefits apply only to professional personnel; some apply only to noninstructional personnel; others apply to all school personnel.
- Certain benefits are governed by statute; others by board policy.
- Benefits are paid partially or fully by public funds, depending on board policy and/or state regulations.

Collateral benefits, as the term implies, are related to, but are less important than, the basic compensation paid to school personnel. More-

⁹ Edward E. Lawler III, "Job Design and Employee Motivation," *Personnel Psychology*, 2:4 (Winter 1969), 426-435.

Table 11.6. *Types of Collateral Benefits for School Personnel*

<i>Types of Benefits</i>		
<i>Time Off with Pay</i>	<i>Protection</i>	<i>Incentive and Improvement</i>
Vacations	Life insurance	Tuition refunds
Holidays	Health and accident insurance	Tuition payments
Military training		Scholarships
Personal absences	Hospital and medical insurance	Incentive increment
Professional absences		Professional improvement credit
Expense allowances	Liability insurance	Noninstructional training programs
	Retirement	Expense allowances
	Social Security	Professional affiliations
	Severance allowances	

over, the benefits public school systems provide are not as comprehensive as benefits in business and industry. The benefit concept, however, has become firmly entrenched and must be viewed as an element in the total compensation plan.

BENEFIT THEORY

Comprising as they do a minor or indirect aspect of compensation, questions as to the purposes served by benefits often arise. Why are they needed if salary structures are internally consistent and externally competitive? If the compensation levels are too low, should these expenditures not be employed to improve salaries and wages? Are benefits devices for maintaining low salary and wage levels?

The assumptions behind collateral benefits may be viewed properly from the standpoint of both the board of education and school personnel. We will first discuss the standpoint of the board of education. Benefits should be conceived of as necessary from a competitive standpoint. School systems must not only compete for skilled manpower, but they must deal with college graduates who, on the whole, are mature in economic matters. Because the society in which we live has come to recognize the benefit concept as an essential part of the occupational structure, boards are forced to compete for personnel under existing occupational mores.

There is an all-important reason for benefits from the board standpoint; it can be stated somewhat as follows: *benefits are established by the board of education for no other reason than to assist it in attaining institutional purposes.* It is the board's way of saying that all school personnel have a particular function to perform, a role to play which contributes to the objectives of the educational enterprise. This contribu-

tion, it says, can be enhanced if personnel are provided with certain professional growth incentives and secured against certain economic risks. The board, in the final analysis, hopes that collateral benefits will make a difference in the quality of education that children receive. It conceives the benefit program not only as a contribution to current compensation, but as a means of helping to recruit, hold, and appropriately motivate personnel to achieve the fundamental objectives of public education. From this vantage point the benefit program is not a substitute for other forms of compensation. It is not a tool for making a weak salary schedule strong, it is not a gift for past performance; it is not a stratagem involving something for nothing. Rather, it is a tool for securing competent performance in the interests of children and youth.

What do benefits mean to school personnel? Economic and psychological objectives are as important to school personnel as institutional objectives are to the board of education. Both interests must be served. Collateral benefits, if properly administered, can be useful tools for achieving both institutional and personal aims.

Collateral benefits reduce economic problems resulting from illness, disability, retirement, death, absences, and professional improvement. With the minimization of personal problems through collateral benefits, the chances are favorable for the development of a staff that will be more efficient, stable, and cooperative. These are the assumptions upon which collateral benefits rest; and these are among the advantages attributed to collateral benefits:

- They are not subject to taxation.
- They are economical, because they can be purchased in quantity.
- Efforts to incorporate collateral benefits into the compensation structure encounter less resistance than proposals for salary increases.
- They contribute to staff security.
- They place school districts in a better competitive position to attract new college graduates.

Each collateral benefit serves a somewhat different purpose; each varies in effectiveness in achieving its purpose; each, it is assumed, produces certain side effects, such as improved motivation and morale. One of the tasks of school administration is to design each benefit so that it will realize certain objectives for the individual as well as for the institution.

Two serious problems have arisen regarding collateral benefits in public education. The spiraling costs of benefits, to both the system and the individual, have caused some to wonder whether a reexamination of the number, variety, and extent of benefits provided is not in order. Over the past decade benefits have risen much faster than salaries and wages. Every school system is confronted with decisions relating to how a competitive salary structure can be maintained for personnel while providing, at the

same time, a costly and extensive benefit program. In short, the growing imbalance between salaries and benefits will need to be reconciled. A second area of concern is the question of whether the benefit program really leads to individual need satisfaction, security, and improved performance. Increasing criticism is being voiced about the paternalistic position in which school boards are placed with respect to benefit practices, the mounting costs, and the alleged inverse relationship between benefits and anticipated results. Consequently, problems are developing in terms of what the nature of the benefit program should be; how it can be better related to the needs of personnel—to their preferences for the relative amount of available compensation that should be allocated to salaries and benefits; and how benefits can be directed to enhance personnel performance.

Administering the Compensation Plan

As every administrator knows, the best of ideas and plans can be of little practical value to the school system until they are put into action. However well-designed a compensation plan is, it must be adopted formally by the board of education and incorporated into the annual, or preferably the long-term, budget. Even when these steps are completed the plan is by no means self-administering. Changes occur daily in every organization. People enter and leave the system. Positions are added and eliminated. Salary expenditures become excessive unless they are controlled. Promotions and dismissals are not uncommon. Entire compensation structures, or parts thereof, become outmoded. As indicated in Figure 11.2, step 5, administration of the compensation plan is a cyclic operation, to be dealt with anew with the preparation of each budget.

TESTING THE COMPENSATION PLAN

The discussion up to this point contains certain propositions for developing a total compensation structure, all or part of which may or may not be useful in establishing a pay plan in a given school system. One way to test the advisability of implementing a new plan is to forecast, to the extent possible, the results it will produce. Will it be superior to the existing plan? What will be the cost of implementing the plan over a period of years? Will it remove or minimize existing inequities? Will it appeal to the personnel for whom it is intended? These and other questions need to be posed to elicit information which will be presented to governing officials for their consideration.

Each school organization must decide what kind of compensation structure it is able to implement and maintain. Working through the various structural designs illustrated in this chapter, and using the same or a different set of assumptions, will help planners to decide whether the consequences produced by the plans are preferable to those yielded by the one in operation. The core of the approach discussed throughout this chapter is about ways to establish a systematic and rational method for determining the relative value of positions in the system, for establishing position guides to secure competent personnel to occupy the positions, and for arranging salaries and wages so that they are equitable within and between structural levels, as well as externally competitive with those of other systems. These are among the tests that any salary plan proposed to the governing body should meet.

ADOPTION OF THE PLAN

Earlier in the discussion it was noted that a compensation policy should be formally adopted by the board in order to guide organization thinking and action with respect to compensation problems. In addition, it is suggested that the board formally approve a salary plan prepared by the chief executive and his staff to implement the policy statement. This amounts to extensive preparation and submission of details of the plan, including items previously discussed, such as

- Explanation of the total compensation structure proposed for the school system, an outline of which is shown in Table 11.1.
- Preparation of an organization manual, which includes an organization chart showing the hierarchy of positions and levels of responsibility; preparation of position guides, listing the principal duties and relationships, as well as the preparation, experience, skills, and length of work year required.
- Definition of elements to be included in determining placement on the compensation scale, and salary progression within position levels.

Reasons for formal adoption of the plan are numerous. Its acceptance by the board not only gives it official status, but makes it an important document in developing annual and long-term budgets. Moreover, it furnishes evidence of good faith on the part of the board and a sense of security to the personnel to whom it applies.

EXPLAINING THE COMPENSATION PLAN TO PERSONNEL

It has been said that every compensation plan should aim for both excellence of design and of execution. The execution phase of the compen-

sation process should include the systematic communication of information to personnel about the compensation structure, as well as the way in which it is administered. Personnel need to know, for example, how the economic worth of various positions is determined; what the nature of the pay differentials is, and how they operate; the intent of compensation policies; when an individual is paid; the structure of a paycheck; how errors in pay are adjusted; how objectivity is maintained; and what collateral benefits are included in the compensation plan. It is not uncommon for personnel information about the compensation structure to be at considerable variance from system information. Without an effective system of communicating compensation information to personnel, rumors, suspicion, and mistrust are inevitable. The data (reported by Beer and Gery in Table 11.7) on pay-system preferences and their correlates support previous findings on different types of data: open systems have greater motivational qualities than secret systems.¹⁹ The success of financial incentives, according to Schreiber and Sloan, depends upon the com-

Table 11.7. *Number of Items per Factor Significantly Related to Preference for at Least One Pay System*

<i>Factors</i>	<i>Number of Items</i>	<i>Number of Items Significantly Related to Preference for at Least One Pay System</i>
Needs	8	6*
Individual's knowledge of pay system and his position in it	6	5*
Satisfaction with pay	6	4*
Amount of performance feedback received	4	3*
Background factors	8	6*
Individual's perception of his performance	2	2*
Quality of relationship with supervisor	2	2*
Payroll level and payroll identification	2	2*
Frequency with which performance appraisals are preferred	1	1*
Past experience with pay administration	3	1
Perceived relationship between pay and performance	3	1

Note: ($p < .10$).

* Indicates factors in which a majority of the items were statistically significant.

¹⁹ Michael Beer and Gloria J. Gery, "Pay System Preferences and Their Correlates," *Proceedings, 76th Annual Convention, American Psychological Association* (1968), 569-570.

munciation of purpose and the linking of the incentive system to this purpose.¹¹ Much of the research on communication and compensation systems indicates that open systems minimize the personnel misunderstanding and mistrust commonly associated with closed information practices.

ADMINISTERING INDIVIDUAL PAY PROBLEMS

Certain technical aspects of the compensation administration relating to individual pay actions should also be noted. These include *establishing and maintaining procedures governing*

- Placement of new personnel in appropriate salary or wage range.
- Promotional increases (person moved to higher-level position).
- Demotion (person moved to lower-level position).
- Downgrading (changing value of position within its cluster).
- Upgrading (person placed in higher level).
- Reevaluation increases (compensation adjustment because of changes in position or position-holder).
- Inequity increases (compensation adjustment for purpose of achieving equity).
- Pay increases (bases, frequency).
- Promotion between grades.
- Equity of pay plans among personnel group.
- Special situations. Sibson points out the following special conditions which occur in the administration of the compensation plan:
 - (a) Red-circle situations: employee paid more than maximum of pay range in which his position is classified.
 - (b) Green-circle situations: employee's pay is below minimum of job classification.
 - (c) Gold-circle situations: employee's pay exceeds the maximum of his evaluated pay level but red-circle groundrules do not apply.
 - (d) Silver-circle situations: long-service employees granted pay increases when such are not justified on the basis of performance.¹²

UPDATING THE COMPENSATION PLAN

Another important aspect of compensation administration is keeping the plan abreast of changes in (1) the position; (2) the relative worth of

¹¹ David E. Schreiber and Stanley Sloan, "Incentives: Are they Relevant? Obsolete? Misunderstood?" *Personnel Administration*, 33:1 (January-February 1970), 52-57.

¹² Robert E. Sibson, *Compensation* (New York: American Management Association, 1974), 83-84.

position; and (3) the value of the individual in the position. In effect, the compensation information system should be designed to yield information about changes in the status of a position or in the occupant of the position (promotion, demotion, and so on), in the external competitiveness of the structure, and in its equitable or inequitable characteristics.

UNION AND GOVERNMENTAL CONTROLS

Compensation administration implies proper implementation of any collective negotiations agreement or adherence to any governmental controls relating to the payment of personnel. Whatever items of agreement have been reached as they affect money and conditions of work, they must be adhered to scrupulously. In fact, the system must anticipate that every facet of the collective negotiations agreement will be closely monitored by union stewards. Thus, it is apparent that there is a need for machinery to implement collective negotiations, to assess their impact on the system, and to plan for translating contractual agreements into tools for improving personnel effectiveness.

In general, the foregoing problems indicate the necessity for a well-conceived plan of administration for resolving individual pay problems relating to contractual agreements, legislation, overpayment, underpayment, inequities, overtime, extra pay for extra work, and promotions and demotions from one pay grade or one pay plan to another, all of which cannot be resolved by the establishment of an overall structure. Excellence of execution, then, is a phase of the compensation process aimed at utilizing the financial factor in achieving organizational objectives and in satisfying personnel needs.

Control of the Compensation Plan

With the organization structure drawn up, people assigned to positions, and the compensation plan in operation, there will be the inevitable questions: "How is the plan working?" "Is it producing the results anticipated?" The facet of the compensation process by which the organization assesses the extent to which performance conforms to plan is referred to as *control* (see Figure 11.2). Control, as noted previously, is one of the major activities of administration, consisting of three steps: (1) setting standards; (2) checking on deviations between standards and performance; and (3) taking corrective action.

In assessing the extent to which the actual operation of the compensation plan conforms to standards, the goals suggested earlier may well be

used as standards. Briefly stated, the success of the plan can be judged by the extent to which it attracts to the organization personnel with the competencies required by the various positions, the extent to which it motivates personnel to cooperate voluntarily in achieving the goals of the system, the effectiveness with which external and internal equity are achieved under existing legal constraints and collective bargaining agreements, and whether the economic investment results in improved conditions for teaching and learning.

CONTROL POINTS

Because the ramifications of any compensation system are so extensive, checks are required to determine how well compensation plans are reinforcing other plans in contributing to organizational purposes. For example, compensation practices play a key role in determining long-range and operating plans for: (1) recruitment and selection of personnel; (2) appraisal and improvement of performance; (3) design of the organization structure; and (4) budgeting of expenditures. The following paragraphs are devoted to consideration of these strategic points.

The first is the selection of personnel prior to assignment to positions. Every organization, regardless of the nature of its compensation system, should design a selection plan to screen carefully all applicants for system positions. With the help of position guides, the qualifications of applicants can be checked against the position requirements to determine how well they are fitted to perform the function and to estimate the potential they have for advancement. It is at this point that determination should be made as to whether base salaries at each level of the compensation structure are adequate to attract qualified personnel. One test of adequacy is how closely compensation at each level conforms to regional norms. The question to be asked is: *How much would it cost to replace a position incumbent with a person with the desired qualifications?*

A second strategic control point is the performance appraisal of each individual after assignment to the position. Results of the performance appraisal, aside from yielding information necessary to making judgments about salary increases, should contribute to plans for individual development of staff members and to determining whether each should be retained in the position, transferred to another position, promoted, or dismissed. Here the test of effectiveness of the compensation plan is whether it provides for systematic appraisal of administrative performance.

The organization structure is another strategic area constantly in need of review and, occasionally, revision. As positions are added, eliminated, or modified, these changes should be reflected in the organization structure, and ultimately in the compensation index and the incumbent's sal-

ary. The criterion for this test of the compensation structure is congruency of the compensation structure with the organization structure. It should be self-evident that a sound organization structure is indispensable both to the integrity of the compensation plan and the workability of the appraisal process.

Finally, control of the expenditures for the compensation plan is an essential requirement. One check on the compensation plan is information relating to its impact on the annual and long-term budgets, such as anticipated salary changes by adoption of the compensation plan, the annual cost, and the impact of the plan on the tax structure.

In a very real sense, then, the problem of controlling the compensation plan is as vital to its success as the design of the structure on which it rests. The information yielded by checking the foregoing points, as well as others not mentioned, can be collected, analyzed, and presented to the board periodically so that the final step in the control process—corrective action—can be taken in order to make certain that the goals of the plan are constantly being realized.

Summary

In this chapter we have been examining the compensation process and its relationship to the personnel function. We have noted that although satisfying the monetary needs of members of the school system is not the whole substance of personnel administration, the absence of a sound compensation plan creates human problems which defy easy resolution. Because the size of a man's paycheck is related to the satisfaction of both his economic and noneconomic needs, the process by which remuneration in a school system is determined is of crucial significance to its ability to implement an effective manpower plan.

The compensation process conceptualized in this chapter consists of various subprocesses, including developing compensation policies, negotiating with unions and associations, establishing the position structure, determining the economic value of positions, determining the economic worth of position-holders, making provisions in the compensation structure for administrative and service personnel, formalizing the compensation plan, and keeping the plan current.

There are a number of interrelated factors which affect the amount of an individual's paycheck. These include compensation legislation, prevailing salaries, collective negotiations, supply and demand, ability to pay, standard and cost of living, and collateral considerations. Although all the foregoing factors enter into the compensation levels established in

an organization, some factor or combination of factors may be more important at a given time than others, depending upon circumstances.

Employment may be viewed as an exchange transaction between the individual and the organization in which each gets something in return for giving something. The employment exchanges between the individual and the system are perceived differently by both parties. One of the major problems in compensation planning is to reach agreements between parties by reconciling the nature of the input-output relationship.

Compensation of Administrative and Service Personnel

The previous chapter focused attention on the dimensions of compensating professional instructional personnel. Now we shift our attention to problems connected with salaries, wages, and benefits for administrative and service personnel.

It is generally recognized that to a certain extent the problems involved in compensating administrative and service personnel are similar to those relating to instructional personnel. Regardless of the three major personnel groups in a school system for whom separate pay structures are typically established, consideration must be given to the following generally accepted requirements: (1) that salaries and wages paid to individuals are commensurate with their contributions to the system; (2) that compensation is internally consistent and externally competitive; and (3) that the compensation plan (and the decisions based upon it) affecting individual pay are administered and communicated in a way that personnel perceive the system to be rational and fair.

Beyond these basic requirements for any compensation plan, pay structures for instructional, service, and administrative personnel differ in several ways. The conceptual, technical, and interpersonal skills needed in an executive position are different from those required for instructional or for service assignments. Instructional personnel, for example, focus their efforts upon planning for teaching, motivating pupils, developing classroom climate, managing the classroom, interacting with pupils, and evaluating the results of instruction. Service personnel, to a considerable extent, are assigned to repetitive and routine duties that follow established rules and procedures. Administrative personnel, on the other hand, perform work demanding decisions which require specialized human and technical skills. At issue in compensation planning for all three groups are the age-old fundamental issues of personnel outputs in exchange for organizational inputs. The text following examines organizational approaches to the compensation of administrative personnel, with emphasis upon the basic compensation process for all personnel, as outlined in Figure 11.2.

Compensation of Administrative Personnel

Executive compensation, regardless of the organization, is a coveted prize, not only because it is a source of internal power, not only because it represents the apex of the system's reward structure, but also because it enables an individual to satisfy a basic extraorganizational need. Men and women vie for executive compensation, not only because of the desire to make more money, but also because of the leverage it gives them in life's daily struggle. Wiseman notes, for example, that it is a goal to some, a game to others:

There is blood money and bride money, conscience money and stolen money, easy money and money that has been earned by the sweat of the brow, money to burn and money as the prize of merit; there is money that is a king's ransom and money that is a whore's pay; there is money to squander and so much money as will make it difficult for its possessor to get into Heaven; there is a mistress' allowance and the wife's due; pocket money, spending money, hush money and money in the bank; there are the wages of sin and the bequests of rich uncles; there is the price that every man has and the pricelessness of objects, and the price on the outlaw's head; there are the thirty pieces of silver and also the double indemnity on one's own life.¹

In establishing the executive compensation structure, the school system has certain expectations and conditions for individuals so designated. These include developing plans for organizational survival and viability; deciding how to achieve the short- and long-term objectives involved in position responsibility; securing voluntary cooperation to achieve system goals; providing leadership; reconciling claimant interests; introducing innovations; advocating courses of action; and taking risks which may result in personal and organization criticism from both internal and external sources. In essence, the compensation of executive positions is significant because the results the organization achieves are more likely to reflect the contributions of these individuals than those in lower-level positions. Executive compensation also deserves careful consideration because pay practices at higher levels are precursors of those at lower levels. With these considerations in mind, let us turn to one of the fundamental steps in planning compensation—review of the current compensation structure.

¹ Thomas Wiseman, *The Money Motive* (New York: Random House, Inc., 1974), 3-4.

Review of Current Compensation Structure

The existing compensation structure of any institution is an amalgam of numerous and diverse decisions, some of which were made in previous generations, some by individuals no longer associated with the organization. Some administrative pay structures have been formally adopted by governing authorities, others are administered informally. Some are systematically planned and operated; others have evolved and are adjusted in the wake of pressures or crises.

Ailing pay structures do not cure themselves, nor do healthy ones stay that way without continuing examination and proper treatment. One of the first steps, then, in improving a compensation structure is to diagnose its present status. This is the focus of the text which follows.

POSITION DEFINITION AND COMPENSATION PLANNING

School systems, like most modern organizations, have long resisted efforts of theoreticians, essayists, and analysts to standardize organization terminology. An examination of organization charts will reveal instances of

- Absence of differentiation between line and staff personnel.
- Different titles being assigned to identical positions.
- Wide differences in compensation for positions with identical titles.
- Administrative titles being assigned to positions which are non-administrative.
- Nonadministrative positions being included in the administrative compensation schedule.
- Titles assigned to administrative positions in one system and having an entirely different meaning in another system.
- Titles being assigned to justify salary increases.
- Personnel having titles not descriptive of the position function.

Causes for the profusion and confusion of administrative titles are not hard to come by: reorganization of school districts without a major reorganization of the total organization structure; creation of new titles for misplaced personnel or for those approaching retirement, and for whom the organization cannot fit into an appropriate niche; carelessness in title assignment; and adjustments to general modification of all or part of the compensation system. It is obvious that titles are important to both the organization and the position-holder. The organization should be interested in standardizing titles that help to clarify the administrative structure and that contribute to an understanding of position functions.

The status and prestige of a title are also important to the individual. The manner in which the title describes his function often affects the esteem others hold for him and for the authority and responsibility attached to the position.

The relationship between the systematic development of a compensation plan for administrative personnel and the definition of administrative positions should be readily apparent. Inattention to a functional scheme for classifying administrative positions, and to standardization of nomenclature which makes position titles meaningful, is conducive to human problems that are both related and unrelated to compensation. As the following sections intend to make clear, effective development and administration of pay plans require clarification of the relative importance and responsibility of administrative positions, and the assignment of different economic values to different positions. The precision with which positions in the administrative hierarchy are described, titled, and related to each other will have a significant bearing on the acceptance, operation, and lifespan of the compensation plan.

WHO QUALIFIES FOR ADMINISTRATIVE COMPENSATION?

A description of the term *administrator* is an indispensable ingredient for developing a compensation plan for administrative personnel. If the organization does not take steps to differentiate between administrative and nonadministrative personnel, it will be plagued by pleas from members who contend that the nature of their work justifies administrative compensation. In making the distinction between administrative and nonadministrative personnel, a statement by Gross on the authority of administrators may be helpful:

The authority of administrators consists of the rights to engage in certain actions needed for the guidance of organizations or units thereof. These rights may be subdivided in various ways—such as rights to: (a) receive, request, and transmit certain kinds of information; (b) make certain kinds of decisions; (c) initiate action through commands and other forms of activation; and (d) allot certain types of rewards and punishments.

Some of these may be exclusively held, some may be shared jointly with others. All of them may be tied together in one bundle labelled "the right to exercise power in certain situations for the achievement of certain purposes."²

Some additional specifications may be needed to clarify which individuals should be included in the compensation plan. An administrator

² Bertram M. Gross, *The Managing of Organizations: The Administrative Struggle*, Vol. I (New York: The Free Press, 1964), 294.

may be defined as one who is certified as a professional either in the field of education or in a field of specialization other than education (law, auditing, accounting, engineering, medicine) by the laws and regulations governing certification in the state, and

- (a) who has been granted formal (written) authority to act in an administrative capacity.
- (b) whose work consists of a superior-subordinate relationship with adult staff members rather than pupil personnel.
- (c) who serves under the rules and regulations of the administrative unit.
- (d) whose work is under the direction and control of the administrative unit.
- (e) who is assigned primarily to work that provides a service for the administrative unit.
- (f) who is eligible for personnel benefits provided by the administrative unit.
- (g) whose salary is at least equal to the entrance salary for teachers in the system.
- (h) who customarily and regularly directs the work of two or more employees,³ and
- (i) who customarily and regularly exercises discretionary powers.

The length of the foregoing description may appear to be the height of verbosity. What must be said in its favor, however, is that when the compensation of administrators is based upon the relative amount of responsibility they exercise, position delineation is indispensable.

WHAT ADMINISTRATIVE POSITIONS COMPRISE SUPERINTENDENCY?

Widespread adoption of collective negotiations by personnel groups in school systems, both professional and service, has led to some confusion as to whether or not certain administrative positions should be included in bargaining units representing classroom teachers. This issue is one that must be resolved before the compensation plan for administrative personnel is fully developed. In brief, the issue can be stated as follows: Should lower-echelon positions in the administrative structure (principal, assistant principal, coordinator, department head, team chairman, and administrative assistant) be included in bargaining units of their own or

³ There are exceptions to this rule-of-thumb. It is conceivable that some administrative assignments involve only the individual, with no other individual reporting to that position-holder.

with that of classroom teachers? The position adhered to in this text regarding the issue is as follows.

- The *superintendency* and the *superintendent of schools* are two different things. The superintendency is composed of all administrative and supervisory positions in the administrative structure. This is to say that all positions created to carry out the work of the superintendency are extensions of this office. Consequently, they do not belong in any bargaining unit because they are part of the administrative organization of the school system.
- One of the primary reasons for giving attention to the development of a sound compensation plan for administrators is the expectation that it will eliminate the need for administrators to join any bargaining unit to secure better provisions for their compensation.⁴

It is apparent, then, that in the early stages of projecting a compensation plan for administrative personnel, the system must carefully define not only what an administrative position is, how many administrative positions there are in the system, and at what levels; it must make clear that all administrative and supervisory positions are extensions of the superintendency. The administrative compensation plan based on this concept will include all administrative and supervisory positions and will eliminate the necessity for their being considered a component of teachers' bargaining units.

RELATIVE IMPORTANCE AND COMPLEXITY OF ADMINISTRATIVE POSITIONS

It is becoming increasingly clear that exclusive reliance on national or regional salary data for judging administrative compensation is an approach considered by many to be less than satisfactory. Experience has shown that a soundly conceived organization structure is the basis of a compensation plan for administrative personnel. The objectives of a compensation plan, however well-designed, will not be realized if the organization structure is faulty. Consequently, another of the key steps in developing a context for administrative compensation is an analysis of the existing organization structure. The purpose of this activity is to gather facts and observations about the structure which can be employed so as to: (1) enhance its ability to meet organizational goals; (2) serve as a reference guide in the establishment of a compensation plan for adminis-

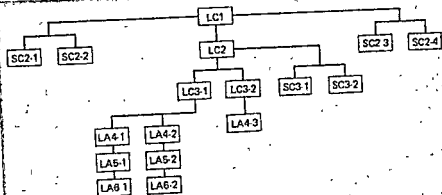
⁴ For an extension of this viewpoint, see Lester W. Anderson, "The Management Team and Negotiations," *National Association of Secondary School Principals, Bulletin* 53 (October 1969), 106-115.

trative personnel; and (3) facilitate appraisal of individual performance by clarifying the reporting relationships among positions in the organization structure.

CHARACTERISTICS OF AN ORGANIZATION STRUCTURE

Every organization has a structure—a plan for linking positions and people to purposes. The structure may be one that has been formally adopted by the board of education, described by organization charts, position guides, and organization manuals. Or it may be an informal structure, without documentation or evidence of any kind to describe its characteristics. In any case, organizations are comprised of people who occupy positions, who interact with each other, and who are vitally concerned that they be compensated, in terms of both the responsibilities inherent in the work they perform and in their individual contributions to organizational effectiveness.

As illustrated in Figure 12.1, the elements of a structure include purposes, people, activities, and relationships. The primary reason for bringing the matter of organization structure into a discussion of compensation planning is that *equity in pay demands that all personnel should be rewarded for the level of work which they are employed to perform*. Just how the equity principle is related to the organization structure can be understood by examination of Figure 12.2, which is a graphic illustration



Central Administration

A. Line Positions

- LC1 Superintendent
 LC2 Deputy Superintendent:
 Instruction
 LC3-1 Director: Secondary Education
 LC3-2 Director: Elementary Education

B. Staff Positions

- SC2-1 Assistant Superintendent: Business
 SC2-2 Assistant Superintendent: Personnel
 SC2-3 Assistant Superintendent: Research
 SC2-4 Assistant Superintendent: Planning
 SC3-1 Coordinator: Pupil services
 SC3-2 Coordinator: Curriculum services

Attendance Units

A. Line Positions

- LA4-1 High School Principal
 LA4-2 Junior High School Principal
 LA4-3 Elementary School Principal
 LA5-1 Assistant Principal
 LA5-2 Assistant Principal
 LA6-1 Department Head
 LA6-2 Department Head

Explanation of Position Index

First Letter Indicates Line or Staff Position

L = Line Position

S = Staff Position

Second Letter Indicates Location of Position

C = Central Administration

A = Attendance Unit

First Number Indicates Structural Level of Position

1. Superintendent

2. Assistant Superintendent or Deputy Superintendent

3. Director or Coordinator

4. Principal

5. Assistant Principal

Second Number Indicates one of several similar positions at same level

Example:

LA4-3 indicates a line position in an attendance unit at fourth level. Index at left identifies position as elementary school principal.

Figure 12.2. Illustration of position index system designed to clarify school system organization structure and to develop a uniform system of titles.

of the characteristics of an organization structure outlined in Figure 12.1. The information contained in Figure 12.2 indicates that there are different levels of responsibility in the organization. The manner in which these structural levels are employed in developing a compensation plan for administrative personnel is described below.

Assuming that the number and types of positions to be included in the administrative structure have been settled, the next step involves the provision of a method whereby: (1) the positions are grouped according to structural levels; and (2) values are assigned to positions within and among the levels. Position evaluation is one of several means through

which the concept of equity or "fair pay" is applied to the compensation plan. Values are established on the assumption that some positions entail greater responsibility and are more difficult to perform than others; the more difficult and important the positions, the higher should be the compensation.

Placing relative values on administrative positions by logical means entails an analysis of each position and its relationship to all other positions in the administrative hierarchy. Alignment of positions can be accomplished by various methods, none of which can be precise or infallible because of the variety of factors involved and because of the difficulties associated with pinning down the behavior expected of individuals assigned to the positions. An elaborate plan of position evaluation in a small school system is probably unnecessary because the relative importance of the several positions can usually be determined by an analysis of the position guides. It is essential, in any case, that all relationships among positions in the organization structure be perceived clearly by incumbents and that any ambiguities be resolved. When administrative positions in an organization are extensive and varied, and differences among them not easily discernible, a more systematic approach is in order. Regardless of the plan used to determine position values, the intent is not to relieve compensation planners of making judgments about position values.

GROUPING AND ALIGNING ADMINISTRATIVE POSITIONS

Effective analysis of the organization structure and the relative worth of the positions¹ comprising it can be facilitated by the use of four structural planning tools—the *position guide*, the *organization chart*, the *structural analysis diagram*, and the *compensation scattergram*—each of which is discussed here in terms of the information which can be derived from its application in order to aid in making decisions about the relative importance and difficulty of administrative positions.

The Position Guide. The position guide, an illustration of which is given in Figure 10.5, is one of the four devices just mentioned that can help to develop the compensation plan. Examination of Figure 10.5 indicates that the position guide is a useful tool for describing the work expectations of each position, specifying the requirements needed by the holder to perform the work, clarifying the authority and responsibility involved, establishing standards of performance, and for explaining the

¹ A position refers to any post in an organization to which duties have been assigned to be performed by one person.

reporting relationships. It is also useful for determining the relative importance of each position in the administrative structure. The position guide not only commits the formal organization to a written record of the position function and status, it provides information useful in various aspects of personnel administration, such as recruitment, selection, placement, initial compensation, performance appraisal, staff development, and salary adjustments. Thus, the *position guide* complements the organization chart; it can be used to examine the work allocated to each position and the qualifications needed to perform the work assigned to the position as well as the position relationships. This information, along with that derived from analysis of the organization chart, can be used to check the extent of agreement between position responsibilities and position alignment, and to provide insights concerning overevaluation and underevaluation of both position and compensation.

The position index numbers used to identify individual positions in the organization structure are derived from the position index system shown in Figure 12.2. The system is designed to

- Differentiate between line and staff positions.
- Develop a uniform system of titles.
- Simplify identification of the structural level of a position.
- Indicate the reporting relationship of each position.
- Provide information for judging the relative importance of positions.

Throughout this discussion, a recurring theme has been that *organization planning is an important antecedent to compensation planning*. Establishing primary operating units, determining the work to be done in each position, specifying the relationships among positions, and developing a position index system to clarify and interpret the organization structure are activities essential to getting work done effectively. These activities also provide information to be used at points of decision involved in establishing the economic value of the work performed by individuals assigned to positions in the organization structure.

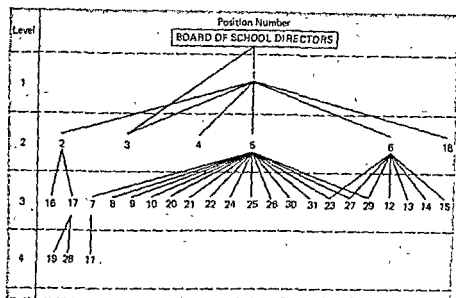
The Organization Chart. One way to initiate an evaluation of administrative positions for the purpose of grouping them according to structural levels is by examination of the system organization chart, such as the one previously illustrated in Figure 12.2. Although it is perfectly clear that organization charts have serious limitations in portraying an organization or its structure, they are serviceable during the initial stages of compensation planning. They contribute information about the division of work, superior-subordinate relationships, and the various authority levels in the structure. Generally speaking, organization charts do not show the degree of responsibility and authority in various positions, or the operational difference in line and staff positions. For the purpose under consideration, it

can be said that the chief contribution of the organization chart is to establish the organization's views as to the functions, relationships, and levels of various positions in the administrative hierarchy. It gives those responsible for making decisions on compensation a skeletal view of the total organization, its position composition, and a general picture of the relative importance and status accorded to levels in the position hierarchy as perceived by the organization. It serves, too, as a working hypothesis of the position values to be tested against position guides and structural analysis diagrams.

The Structural Analysis Diagram. Third in the series of structural planning tools for grouping and aligning positions in the organization structure is a *structural analysis diagram* of reporting relationships, such as the one illustrated in Figure 12.3. The primary function of this diagram is to reveal the number of structural levels in the organization and to identify which positions exist at each level. Secondary functions of the diagram are to (1) confirm superior-subordinate roles of positions; (2) verify line and staff relationships; and (3) reveal ambiguities that might impede development of an equitable compensation structure. In effect, the structural analysis diagram is an informal organization chart derived from analysis of superior-subordinate roles as perceived by members of the organization.

Information concerning superior-subordinate relationships on which to base analysis of the organization structure is obtained by using a data bank similar to the one illustrated in Figure 12.4. It should be noted that the information contained in the example is governed by the nature and complexity of the compensation structure being contemplated. For example, information is sought about each position incumbent concerning reporting relationship, preparation, length of work year, experience, staff load, and time devoted to administration. The information is to be used in determining the number, types, and relative importance of components in the compensation structure. Reporting relationship is the key element in differentiating positions as to level in the structure. In Figure 12.4, positions 2 through 6 and position 18 all report to position 1; positions 7 through 10, 20 through 27, and 29 through 31 all report to position 5, and so on.

The primary purpose of gathering the data in Figure 12.4 is to assign a responsibility level to each position in the organization structure. The positions can be identified by using the code employed in Figure 12.4. When data are displayed in the form illustrated in Figure 12.3, all positions reporting to a given level are aligned horizontally. For example, positions 2 through 6 and position 18 are all grouped beneath level 1 and assigned to the second level of the position hierarchy. In the same way, the positions reporting to these second-level positions are grouped at the



Code

- | | |
|---|--|
| 1. Superintendent | 11. Assistant Jr. H.S. Principal |
| 2. Assistant Superintendent: Instruction | 12-15. Elementary School Principals |
| 3. Assistant to Superintendent: Logistics, and Secretary to the Board | 16. Reading Supervisor |
| 4. Assistant Superintendent: Personnel | 17. Director of Pupil Personnel and Guidance and Department Head |
| 5. Director: Sec. Education (H.S. Principal) | 18. Home and School Visitor |
| 6. Director: Elementary Education | 19. Psychologist |
| 7. Junior H.S. Principal | 20-31. Department Heads (50 percent) Administration |
| 8-10. Assistant H.S. Principals | |

Figure 12.3. Schematic analysis of administrative organization structure in Goodville school system.

third level, and so on, until all administrative positions are accounted for. Use of the foregoing analytical technique results in a stratification of positions, from which position values are readily apparent. As an additional aid in sorting the structural relationships into levels, broken lines may be used to emphasize the horizontal divisions and the segments labeled "levels" and, if necessary, "sublevels," as shown in Figure 12.3. For discussion of the rationale underlying creation of sublevels in the organization structure, the reader is referred to pp. 356-357.

In real-life organizations, relationships among positions at various levels of the structure are seldom without some ambiguity. When such ambiguities obscure reporting relationships, or result in confusion of func-

tion, steps must be taken toward realigning positions before position values are finally determined. Examples of some structural flaws which may be revealed by an analysis of organizational relationships are illustrated in Figure 12.3, as follows.

- Positions 16 (Reading Supervisor), 17 (Director of Guidance), 18 (Home and School Visitor), 19 (Psychologist), and 25 (Medical-Dental Therapist) consist of specialists who render services primarily to children. These should be excluded from the administrative organization structure (see also Figure 12.4 for position titles).
- Position 3 (Assistant to Superintendent: Logistics) reports both to position 1 (Superintendent) and to the Board of School Directors, an example of dual control which frequently results in confusion of authority.
- Positions 23, 27, and 29 (Department Heads) all report to two positions, position 5 (Director of Secondary Education) and 6 (Director of Elementary Education).
- Position 5 (Director of Secondary Education) also functions as principal of the high school. Consequently, position 7 (Junior High School Principal) and positions 8-10 (Assistant High School Principals) all report to position 5 and appear to be of equivalent value.
- The fact that secondary school principals function both at levels 2 and 3 results in assistant principals also being grouped at different levels.

Other problems evident from the structural analysis of data in Figure 12.4 as depicted in Figure 12.3 are

- Title ambiguity (titles which fail to relate to position function or status).
- Excessive span of control (position 5 is responsible for 15 positions).
- Heterogeneity of function (related activities are not grouped under the same head).
- Failure to coordinate the instructional function (elementary and secondary education) with the pupil services function.

Although it is not implied that all of the structural problems which beset an organization can always be resolved immediately, it is essential that long- and short-term plans, as well as operating plans, be addressed to eventual clarification of relationships among positions in the organization, thereby furnishing a foundation for an equitable compensation structure.

Determining Sublevels in the Organization Structure. Values assigned to administrative positions on the basis of reporting relationships provide

skeletal information for linking compensation to the relative worth of positions at different levels of the organization hierarchy. However, there are occasions when it is necessary to assign different values to positions which function at the same reporting level. For example, some school systems employ attendance unit administrators, some of whom are employed for 10 months and others for 12 months. One way to provide for equity in compensation of these personnel is to adjust position values in such a way as to reflect the differences in length of the work year. The adjusted values may be thought of as reflecting sublevels in the organization structure because the differences between them are not as great as those between levels.

Creation of sublevels in the organization structure is justified only when there are demonstrable differences in conditions governing positions at the same responsibility level. Following are examples of conditions that might require differentiation of position values at the same reporting level: difference in *value* to the organization; of the work performed, e.g., direction of instruction (a line function) versus one of the staff functions (logistics, personnel, external relations); variations in length of work year; part-time employment; apportionment of time to nonadministrative obligations; and the state of the marketplace.

Quantitative methods for determining position values corresponding to levels and sublevels of the organization structure are discussed and illustrated in the text following, which emphasizes linking the relative worth of administrative positions to compensation.

The Compensation Scattergram. The fourth compensation planning tool suggested in the previous discussion is the *compensation scattergram*, illustrated in Figure 12.5. The technique involves analysis of the relationship between two variables—position values, as reflected by levels occupied by positions in the organization structure, and economic values placed on those positions, as determined by the compensation of incumbents.

Each entry in the scattergram represents the compensation and operating level of a member of the administrative staff. For example, the chief executive, at level 1, receives an annual compensation of \$35,000. The lowest-paid member of the organization, at level 4, receives \$13,000 annually. The expected trend in relationship of compensation to position level would be drawn diagonally from the lower left to the upper right in Figure 12.5. Visual examination of the scattergram confirms this expectation, but also reveals several flaws in compensation practices. For example:

- The range of compensation position at level 2 appears to be excessive (from \$15,500 to \$26,000).

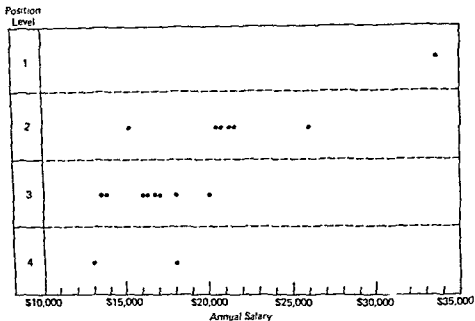


Figure 12.5. Scattergram illustrating distribution of compensation for administrative personnel.

- Average compensation levels at position levels 3 and 4 are insufficiently differentiated.
- Average compensation levels at position levels 2 and 3 are low, relative to the practice at position level 4.

The foregoing observations reveal the degree to which compensation practices are structured in congruence with position values in an organization, and suggest that, where departures from expected trends are observed, remedial action may be in order. Two remedies for the inequities observed in Figure 12.5 data come to mind: (1) adjust the compensation plan to reflect more adequately position values at respective levels of the organization structure and, (2) reclassify those positions as required to correct structural flaws.

How Is the Relative Worth of Administrative Positions Determined?

Having established in the preceding sections that administrative positions in an organization can be grouped into an orderly structure designed to achieve specific purposes, and that positions differ in degree as

well as in kind of responsibility, it is now possible to examine them in terms of their application to a compensation structure.

BASIS FOR THE COMPENSATION STRUCTURE

It has been shown that within the organization structure, positions relate one to another on a number of levels, and that the order of each position in the hierarchy can be ascertained by examination of reporting relationships with other positions in the structure, as well as by the amounts and kinds of responsibility inherent in the position. Proceeding, then, on the principle that compensation should be determined by relative importance of positions within the organization structure, it is necessary to arrive at a consistent measure of the relative fiscal worth of positions at each level of the structure.

Basic to development of such a measure is the distinction between the nature of a position and the qualifications of the individual who fulfills its functions. Figure 12.6 illustrates a compensation structure that includes components relating to: (1) values inherent in the position; and (2) values that reflect the relationship of the position incumbent to the position.

It should be emphasized that the compensation structure illustrated in Figure 12.6 represents a *decision system* designed to provide:

- A systems approach to compensation planning.
- A rational and objective basis for quantifying compensation decisions.
- Linkage of the compensation plan to the organization structure.
- Enduring equity—fiscal consistency and fairness of treatment for members of the organization.

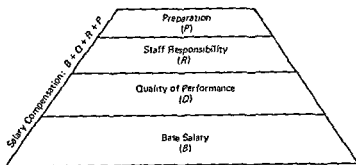


Figure 12.6. Conceptualization of compensation structure for administrative personnel.

- Compensation parity with external organizations.
- Responsiveness to the marketplace.
- Recognition of individual worth of position incumbents.
- Adaptability to organizational needs.

As noted, the compensation structure illustrated here contains components that are intended to link compensation both to position value and to the individual worth of the position incumbent. This section and the one following are focused on linking compensation to position values—that is, to determine a base salary corresponding to each level and sublevel of the organization structure. This component of the compensation structure is an essential part of all compensation plans.

Other components of the compensation structure consist of addends—designed to establish ranges of compensation at each level and sublevel—which reflect differences in the individual worth of position incumbents. These are options which greatly enhance the flexibility of the compensation structure in meeting a variety of conditions. The relative emphasis on optional components of the compensation structure, as opposed to the base salary as a determinant of total salary compensation, will vary. The number, type, and size of the addends selected may be adjusted to meet local needs and conditions. Attention is given later to procedures for selecting and incorporating addends into the compensation structure. The point to be stressed here is that in assigning values to each position in the organization, consideration must be limited to factors relating to that position. Even though matching the individual and the position and providing for his or her growth and economic betterment are essential concerns of the organization, *these can be considered only after position functions have been identified and the base compensation structure established.*

DEVELOPMENT OF THE BASIC COMPENSATION STRUCTURE

Assignment of relative values to positions in the organization structure rests on the following premises:

- Basic (minimum) compensation levels can be determined for positions at each level of the structure.
- The number of basic compensation levels will correspond to the number of levels in the structure (usually not more than six).
- Sublevels can be established and compensation determined, as needed, to provide for differences in value of positions found at a given level of the structure.

- Basic compensation will increase from the lowest to the highest responsibility level.
- The difference between base salaries will be progressively greater at each consecutive level in the hierarchy, from lowest to highest.
- Base salaries at each level of the organization structure will relate consistently to base salaries at every other level through use of an index.
- The compensation index will be based on a reference level within the administrative compensation structure rather than on some external criterion, such as teachers' salaries.

ESTABLISHING A REFERENCE LEVEL FOR THE COMPENSATION STRUCTURE

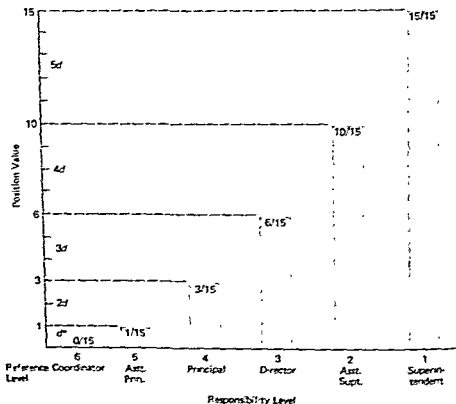
It is generally recognized that salaries of administrators are constantly compared with the earnings of other personnel, both within and outside of the organization. The inevitability of such comparisons by administrators, policy makers, other members of the organization, and the general public leads not unnaturally to a desire to rationalize or to formalize linkage of compensation plans for administrators with those designed for entirely different sets of conditions.

Some compensation plans that have been devised for school administrators, for example, are linked by an index, or ratio, with salaries of other professional personnel. One consequence of this relationship is that fluctuations in the salaries used for reference are almost inevitably followed by adjustments in the salaries of administrators, regardless of the justification for such changes. Although the logic of these interrelationships is open to question, the practice is deeply rooted in tradition. Following are some of the bases which have been identified in the literature for determining administrative salaries.

- Average salary of classroom teachers.
- Scheduled salary of teacher with specified experience, e.g., five years.
- Highest scheduled teacher's salary.
- Minimum scheduled teacher's salary.
- Salary administrator would earn on teachers' schedule.
- Maximum of teacher class for which administrator would qualify.
- Regional norms of administrative salaries.

Although there can be little argument that bench marks such as the foregoing are useful in arriving at realistic and equitable compensation levels for administrators, the question is whether they need to be made an integral part of the plan. We propose here to develop an index salary

plan for school administrators which has internal integrity, i.e., one in which the reference base is internal and in which the elements are related to one another through an internal system of values rather than by reference to unrelated criteria. Once the internal relationships within the administrative salary structure have been established, the system can be referred directly to the marketplace, or to such external data as may be required for fiscal validation. In short, this means that adjustments to market conditions can be made for any position, while maintaining the same relative values among all positions. The ultimate test of its validity will be the extent to which the compensation plan for administrators contributes to attracting and retaining an adequate supply of competent administrative personnel.



*d = difference in position values

Read as follows: Position value of Coordinator is at reference level, position value of Assistant Principal at 1/15 of position value range above reference level, position value of Principal at 3/15 of position value range above reference level...Difference in position values of Superintendent and Assistant Superintendent 5 times as great as difference in position values of Coordinator and Assistant Principal.

Figure 12.7. Relationship of position values to responsibility levels.

ESTABLISHING VALUES FOR POSITIONS

When the compensation plan is linked to positions in the organization structure, it is necessary both to establish a base and to provide for individual advancement at each level. The purpose of establishing position values is to link compensation to the organization structure by establishing base salaries for each level, salaries commensurate with the amount and kinds of responsibility inherent in the positions at each level. The linkage is maintained by use of a compensation index that expresses the relationship between the base salary at any level and the base salary at the lowest level.

The basis for the compensation index to be developed in this section is illustrated in the six-level compensation structure in Figure 12.7. As shown, the differences in position values among responsibility levels are not uniform. The difference between the fourth and fifth levels (Principal and Assistant Principal) is twice as great as the difference between the fifth and sixth levels (Assistant Principal and Coordinator). The difference between the third and fourth levels (Director and Principal) is three times as great as between the fifth and sixth, and so on. It should be obvious that the difference in position values at the highest and lowest level is the sum of these differences, and that at any level the amount by which the position value differs from that at the lowest level can be computed as a fraction of that total. For example, in the compensation structure in Figure 12.7, the sum of differences is 15. The difference in value between the fifth and sixth levels is $1/15$ of the total, between the fourth and sixth levels $3/15$ or $1/5$ of the total, and so on, until at the top level all of the difference is accounted for.

From the foregoing conceptualization it is possible to construct a model for deriving salary indices based on any salary range and on any number of responsibility levels. The procedure is illustrated in Table 12.1.

How Is the Relative Worth of Administrative Positions Translated into Dollar Values?

Having established base salaries for positions at the top and bottom responsibility levels of the administrative salary structure, having determined the number of levels and sublevels comprising the structure, and having assigned to each a relative value through the use of the compensation index, it is possible to translate position values into dollar values. The emphasis in this section is on the transformation of responsibility levels to dollar values through the use of the compensation index developed in

Table 12.1. A method is shown in Table 12.2 for establishing base salaries for administrative personnel at each level of responsibility. The illustrations include computations based on differing assumptions as to the reference point, range, and number of levels in the compensation structure. Establishing ranges of dollar values for each responsibility level, so as to provide for differences in contributions of individuals to the purposes of the organization, will be discussed subsequently.

As illustrated in Table 12.2, the transformation of position values to dollar values is achieved by multiplying the base salary at the lowest level by the compensation index at each level and sublevel, until all position values in the organization structure have been accounted for. As a preliminary to the conversion process, a simple check of the calculations used to establish the compensation index is worth performing. Because the compensation index is based on the ratio of the highest to the lowest salary base, both of which were selected as starting points, the product of the compensation index at the highest level and the base salary at the lowest level of the compensation structure should closely approximate^{*} the base salary for the highest position.

How Is the Economic Worth of Individuals Assigned to Administrative Positions Determined?

Up to this point, the focus of developing a compensation plan for administrative personnel has been limited to methods of determining the values of positions within the organization structure, and to devising compensation plans consistent with those values. In this section, means will be explored whereby the compensation plan can be used to provide for differences in the contributions of individual administrators to organization purposes.

A number of reasons have been advanced for augmenting the basic salaries of individuals who render service to organizations. These include differences in amount of formal preparation for the position, work load assigned, effectiveness in contributing to organization goals, length of experience on the job, and previous service to the organization. Regardless of the bases selected for supplementing the salaries of administrators in accordance with their individual worth, there is general agreement that such payments are justified by (1) increased satisfaction of the employee resulting from recognition by the organization of his contribution to its purposes; and (2) improved capability of the organization to attract, retain, and develop those individuals who contribute to its purposes.

^{*}The result of this calculation may not equal precisely the original value selected, because of rounding errors encountered in using the index.

Once the decision has been made by the organization to provide at each level of the compensation structure a systematic plan for rewarding individual contributions, questions such as the following will arise:

- What criteria shall be employed as a basis for awarding addends to the basic salary?
- Which addends should be automatic? Which nonautomatic?
- What should be the number and size of each kind of addend?
- How should the number and size of addends relate to position value?
- How should the number and size of addends relate to purposes?
- How can objectivity be observed in awarding addends?
- How can the requirement of flexibility be reconciled with the requirements of equity?
- What limits should be imposed on the maximum salary? Should such limits be absolute?

Once the decision has been made to provide at each level of the compensation structure a systematic plan for linking fiscal recognition of each administrator to his past, present, and future worth to the organization, at least three kinds of decisions need to be made. These relate to the determinants to be employed to indicate the value of the man; the fiscal importance to be accorded to each determinant; and the size, number, and frequency of fiscal addends to be incorporated in the salary plan.

DETERMINANTS OF THE "MAN VALUE"

There are at least four factors about which decisions need to be made in designing the measure of "man value." These include *professional preparation, experience, quality of performance, and intralevel responsibility*. Practice varies in school systems throughout the nation with regard to the emphasis given these four factors. Which factors to include and what emphasis is given to each factor is a matter to be decided locally, but certain observations should be made on the issues involved in making decisions on the four factors. These are discussed in the text following.

The Preparation Factor. The general trend in certification requirements for school administrators since mid-century,⁷ community demand for greater professional effectiveness, and the establishment of preparation requirements in position guides have altered somewhat the time-honored practice of placing heavy emphasis upon the preparation factor as a salary determinant during, rather than prior to, employment. The reasoning behind this change is that the position guide calls for, and the basic salary

⁷ A master's degree is now required for the principalship in a majority of the states. In many school systems it is a minimum requirement for any administrative position.

schedule compensates for, preparation at the time of employment. This line of reasoning holds that the salary plan should be so designed, especially at the upper levels of the administrative hierarchy, that salaries are adequate to reward preparation at the time of employment, rather than during the years of service. Preparation, so goes the logic, is needed at the time of assignment to important administrative positions, and should be paid for at that time.

This is not to contend that rewards for preparation during service or for preparation beyond the level specified by the position guide should be excluded from the compensation plan. The point is that preparation should be considered in determining addends to basic salaries only to the extent that it has not been included as a determinant of the basic salary structure developed earlier. The example following (Figure 12.8) illustrates a system of addends for preparation which is based on minimum specifications set forth in position guides and on specified preparation levels beyond the minimum, which the position incumbent is encouraged to attain.

The Experience Factor. The problem of how much emphasis should be given to administrative experience as a salary determinant is as ubiquitous as the preparation issue. Most administrative positions at the upper level of the structure require experience, and this element is generally written into position guides. At the lower levels, opportunity should be provided for promising individuals to acquire experience in administrative positions as a means of professional development. Certainly the organization has both a responsibility and an opportunity to provide administrative experiences to further the development of potentially capable

Preparation Level	Addend (Portion of Base Salary)	Position Value (Cumulative Addends by Structural Level)						
		1	1a	2	3	4	6	6
B								**
M	.01						**	.01
M+30	.01				**	**	.01	.02
M+45	.01			**	.01	.01	.02	.03
M+60	.01		**	.01	.02	.02	.03	.04
D	.02	**	.02	.03	.04	.04	.05	.06

** Minimum preparation specified for position

Read as follows: Minimum preparation, level 1=doctorate, no applicable addend; Addends for M+30 credits=2% of base salary at level 5.

Figure 12.8. Preparation addends for administrative positions, Goodville school system.

individuals. The trouble with many of the plans for compensating administrators is that the experience factor is given greater emphasis than the performance or effectiveness factor. With the advent of the ratio differential schedule, the experience factor is losing its appeal in compensation plans. One explanation for this trend is that the ratio plan appears to be more effective as a device for developing equitable and adequate administrative pay schedules than the use of separate factors such as preparation and experience.

The Performance Factor. Although inclusion of a performance factor in compensation plans for school administrators is probably the exception rather than the rule, there is growing interest in and use of appraisal as a tool for contributing to organizational purposes and individual staff development. It is an organizational expectation that an individual's performance will contribute, increasingly with experience, to goal realization. When this is the case, provision for its recognition should be incorporated in the compensation plan. For school districts that include a performance factor in the compensation plan, it is suggested that the appraisal procedure be linked to the position responsibilities specified in the position guides. Performance appraisal can be specific, objective, and relevant to individual as well as organizational needs. Essential elements in the appraisal process are: (1) determining goals; (2) setting performance standards and; (3) measuring progress toward goals and realization of standards. Both goals and performance standards should be acceptable and meaningful to appraiser and appraisee, and should be limited in number, unambiguous, stated in operational terms, amenable to measurement, and attainable. The emphasis here is on linking the compensation plan to the organization's goal structure through the appraisal process. Performance appraisal is focused on improving the effectiveness of each position incumbent; it is not intended as a punitive measure or as a device to hold down costs of the compensation plan.

The Intralevel Responsibility Factor. Sometimes differences in the difficulty of work performed at a given compensation level require that adjustments be made to preserve equity in the salary plan. For example, the size of the professional and service staff for whom a principal is responsible may vary widely within a school system. The impact of such differences is primarily on the individual, but it relates also to the capacity of the organization to attract, retain, reward, and develop those who contribute to its purposes.

One way of recognizing the differences in work loads that are imposed on administrators is to provide a series of addends, graduated in accordance with the number of adults whose work he is responsible for supervising. This method of adjusting compensation is incorporated in the

summary compensation plan illustrated in Table 12.6, following its introduction in Table 12.3.

Another basis for awarding addends for differences in work loads consists of variations in size of the attendance unit for which the administrator is responsible. Pupil enrollment, average daily membership, and the like are indirect measures of such responsibility.

Table 12.3. *Schedule of Unit Complexity Addends for Principals, Goodville School System*

<i>Unit Complexity (Standard Score)*</i>	<i>Number of Principals</i>	<i>Addend to Base Salary (Per cent)</i>
92 or more	2	10
84-91	1	9
76-83	2	8
68-75	~	7
60-67	5	6
52-59	~	5
44-51	1	4
36-43	~	3
28-35	~	2
20-27	3	1
10 or less	1	0

* Composite standard score, based on the following factors:

Number of professional staff.

Number of nonprofessional staff.

Faculty experience.

Number and types of special programs.

Pupil membership.

Per cent of pupils from low-income families.

Number of non-English-speaking pupils.

Pupil turnover rate.

Perhaps the best method of determining differences in responsibility among administrators who are directly (principals) or indirectly (city regional superintendents) responsible for attendance units is the multiple-factor measure of school complexity. The indicator that is used might include factors for school size, number and qualifications of staff, social and economic condition of pupils, pupil health, learning potential, and achievement. Although multiple-factor measures of the attendance-unit work load are more difficult to devise and to use than single-factor measures, they are in operation in some school districts and can be readily adapted to use in a systematic compensation plan. Table 12.3 illustrates one method whereby weighted composite-standard scores, derived from pupil membership, staff size and experience, curriculum complexity, and socioeconomic factors, might be linked to adjustments in the base salary of attendance unit administrators.

SELECTING ELEMENTS IN THE COMPENSATION RANGE

In order to illustrate the application of the "man value" factors just described, let us assume that the Goodville school system plans to adopt an index compensation structure based on a reference level of \$13,000 and six position levels. Principals within the system are on a uniform salary schedule, and all are employed for 12 months. The Board of Education has determined that it can support total payments for administrators' maximum salaries equal to 45 per cent in excess of base salaries. It has decided to preserve the values incorporated in the basic salary structure by basing the salary range at each position level on the same fixed percentage of the base salary.

In selecting the elements to be used in determining addends to base salaries, the Goodville Board decides to limit its choice to those three which relate most closely to its purposes. After listing in order of importance a number of possible factors for inclusion in the plan, the three determinants of compensation for individual administrators shown in Table 12.4 are selected.

DETERMINING THE RELATIVE ECONOMIC WORTH OF ELEMENTS IN THE COMPENSATION RANGE

Having previously set a limit for individual compensation equal to 45 per cent of the base salary at each position level, the Goodville Board is faced with the problem of how to allocate its resources among elements it has selected for inclusion in the compensation plan. The Board's decision on this problem, shown in Table 12.4, indicates the relative importance of each salary component. For example, one-fourth of the total weight (3/12) is devoted to addends for preparation, one-third (4/12) to addends for responsibility, and the remainder (5/12) to addends for

Table 12.4. *Derivation of Salary Addends Based on Compensation Determinants in the Goodville School System*

(1) Compensation Determinant	(2) Rank Order of Importance	(3) Arbitrary Weight	(4) Per cent of Base Salary*	(5) Derivation
Performance	1	5 (a)	18%	$a/d \times .45$
Responsibility	2	4 (b)	15%	$b/d \times .45$
Preparation	3	3 (c)	12%	$c/d \times .45$
Total Weight	—	12 (d)	45%	—

* Values adjusted to multiples of 3%.

performance. These portions, it will be noted, vary from about 12 to 18 per cent of the base salary.

DETERMINING THE SIZE AND NUMBER OF ADDENDS COMPRISING THE COMPENSATION RANGE

The size and number of addends which the Goodville Board can grant to its administrative personnel are limited by its previous decision as to how large a proportion of its salary expenditures will be devoted to the compensation elements selected. Assuming a base salary of \$17,500 for principals, for example, the percentages shown in column four of Table 12.4 are translated in three steps into dollar equivalents, as illustrated in columns one through three of Table 12.5.

Table 12.5. *Development of Salary Addends for Principals*

<i>Step 1</i> <i>Select Determinants,</i> <i>Set Maximum Limits</i>	<i>Step 2</i> <i>Select Automatic Addends,</i> <i>Determine Size and</i> <i>Number</i>	<i>Step 3</i> <i>Select Nonautomatic</i> <i>Addends, Determine Size</i> <i>and Number</i>
Base Salary \$17,500		
Maximum Addends		
A. <i>Performance</i>		<i>Nonautomatic</i>
Per cent 18%		6 at 3%
Amount \$3,150		\$525 to \$3,150
B. <i>Responsibility</i>	<i>Automatic</i>	
Per cent 15%	5 at 3%	
Amount \$2,625	\$525 to \$2,625	
C. <i>Preparation</i>	<i>Automatic</i>	
Per cent 12%	5% for Doctorate*	
Amount \$2,100	\$1,050	
D. <i>Total</i>		
Per cent 45%		
Amount \$7,875		

* No addend is provided for master's degree, which is a position prerequisite.

TRANSLATING COMPENSATION PLAN INTO INDIVIDUAL SALARIES

As every administrator knows, the best of ideas and plans can be of little practical value to the organization until they are put into action. However well-designed a compensation plan is, it must be adopted formally by the board of education and incorporated into the annual, or preferably the long-term, budget. Even when these steps are completed, the plan is by no means self-administering. Changes occur daily in every

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
Position*	Position Title	Compensation Index	Base Salary	R-Responsibility		P-Preparation		Q-Performance					
				Total Fraction Staff (.030)	Addend (R)	Level	Fraction (.050)	Addend (P)	No. of Awards (Q)	Addend (Q)	B + R + P + Q	Salary	B + R + P + Q
SC3-2	Coord.	1.5333	20,199			M**	—	—	1	.03	1010	21,209	
LA4-1	P.Serv. II S. Prin.	1.2769	16,600	57	.09 \$1494	D	.12	1992	3	.15	2490	22,576	
LA4-2	J.H.S. Prin.	1.2769	16,600	49	.09	M + 30	.06	996	2	.10	1600	20,252	
LA4-3	EL.S. Prin.	1.2769	16,600	35	.03	D	.12	1992	5	.25	4150	23,240	
LA4-4	EL.S. Prin.	1.2769	16,600	18	—	M**	—	—	3	.15	2490	19,090	
LA4-5	EL.S. Prin.	1.2769	16,600	18	—	M + 30	.03	996	1	.05	830	18,426	
LA5-1	Asst. Prin.	1.0923	14,200			M + 30	.06	852	2	.10	1420	16,472	
LA5-2	Asst. Prin.	1.0923	14,200			M**	—	—	—	—	—	14,200	
LA6-1	Dept. Head	1.0000	13,000			M**	—	—	1	.05	650	13,650	
LA6-2	Dept. Head	1.0000	13,000			M + 30	.06	780	3	.15	1950	15,730	
LA6-3	Dept. Head	1.0000	13,000			M**	—	—	2	.10	1300	14,300	

* See Figure 12.2 for explanation of position codes listed in Column 1.

** Minimum preparation specified for position.

organization. People enter and leave the system. Positions are added and eliminated. Promotions and dismissals are to be expected. Entire salary programs, or parts thereof, become outmoded. Thus, the chief executive and his staff need to view administration of the compensation plan as a cyclic operation, to be dealt with anew with the preparation of each budget.

The mechanics of the plan should be simplified and quantified to the point where they are readily understood and can be utilized to calculate the impact of the salaries on individuals as well as on the annual budget. Table 12.6 has been included to illustrate how data for the compensation plan under discussion might be organized and analyzed for a given school system.

An example of the manner in which the salary of a given administrator would be calculated from the data and formula in Table 12.6 will serve to clarify the operation of the plan. Assumption I covers the automatic elements in the plan; Assumption II, the nonautomatic element.

I. Automatic Components of the Plan

- Position LA 4-1 (High School Principal) is responsible for a total staff of 57, which entitles him to three addends of 3 per cent of the base salary of \$16,600 [Responsibility Fraction (R) = .09].
- LA 4-1 possesses an earned doctorate, which entitles him to two increments of 6 per cent for preparation beyond the minimum (M.A.) specified for the position [Preparation Fraction (P) = .12].
- Summing the automatic increments:

R (Responsibility addend)	$= \$16,600 \times .09 = \1494
P (Preparation addend)	$= \$16,600 \times .12 = \1992
Total Automatic Increments	$\$3486$

II. Nonautomatic Component of the Plan (Q)

- LA 4-1, over a period of years has earned three addends of 5 per cent for quality of service [Quality Performance Fraction (Q) = .15]. Q (Quality Performance Addend) $= \$16,600 \times .15 = \2490

III. Total Salary

- LA 4-1 is entitled to the base salary for the position (B) plus $R + P + Q$

B (Base Salary)	$= \$16,600$
R (Responsibility Fraction)	$= 1,494$
P (Preparation Fraction)	$= 1,992$
Q (Quality Performance Fraction)	$= 2,490$
Total Salary	$\$22,576$

Each school organization must decide what kind of salary structure it is able to implement and maintain. Working through the design sum-

marized in Table 12.6, and using the same or a modified set of assumptions, helps planners to decide whether the consequences produced by the proposed structure are preferable to those yielded by the one in operation. The core of the proposal discussed herein is to establish a method for determining the relative value of administrative positions, for establishing position guides to secure competent personnel to occupy the positions, and for arranging salaries so that they are equitable within and between structural levels, and externally competitive with those of other systems. These are among the tests that any salary plan proposed to the governing body should meet.⁶

Service Personnel

Until recent years, the problem of compensation for service personnel has been characterized by public and administrative inattention.⁷ Various explanations for this have been offered.

- Lack of funds to assure economic satisfaction to all personnel on the payroll.
- Selection of personnel by political considerations.
- Dual or multiple administrative control, which is not conducive to unified planning.
- Small school districts with few service personnel.
- Available labor supply.
- Absence of collective negotiations.
- General undervaluation of the role of these employees.
- Employment of part-time or retired personnel to perform certain service functions.

Plans now in operation for determining the economic and social worth of service personnel are, for the most part, less than satisfactory because they are not designed systematically. The value of school property with which service personnel are entrusted frequently amounts to millions of dollars. Their efforts are vital to the health and safety of school children. Their character, conduct, and effectiveness influence the entire school operation.

A positive personnel program should be established for service person-

⁶ For a more detailed discussion of compensation planning for school administrative personnel, see William B. Castetter and Richard S. Heisler, *Planning the Financial Compensation of School Administrative Personnel* (Philadelphia, Pa.: Graduate School of Education, University of Pennsylvania, 1974).

⁷ Service personnel generally include secretarial, clerical, transportation, security, maintenance, operation, and food-service employees.

nel for several reasons. Public education seeks in these employees the same abilities sought by other occupational enterprises. If education hopes to attract personnel of high caliber, it must be prepared to compete for their services in an open labor market. The principles for developing a sound compensation structure are considered to be as applicable to service personnel as to professional personnel. Techniques for implementing these principles in a sound pay plan for service personnel differ in certain ways from those employed in preparing a single-salary schedule for professional personnel. This is owing in large measure to the variety of occupations, levels of training, and diversity of functions performed by service personnel.

POSITION CLASSIFICATION

The foundation of an effective compensation plan for service employees is the *position classification concept*. Essentially, this scheme is based on the assumption that there should be equal pay for equal work. Steps in the position classification plan include

- Making a detailed analysis of each position, especially duties and responsibilities involved.
- Assigning each position to an appropriate class.
- Stating the duties and requirements of each position.
- Establishing qualification standards to fill the position.
- Setting salary ranges for positions in a given category or classification.

The steps outlined provide the framework within which the position classification plan is formulated. Techniques and procedures of position classification have been subject to extensive experimentation during the past three decades, both in government and industry.

In summarizing, it should be mentioned that the way out of chaos and expediency in compensating service personnel is to shape an instrument that will assist administration in formulating salary and wage policies. The classification idea provides a useful tool for this purpose. It has the advantage of

- Providing a systematic basis for establishing salary and wage differentials for the various classifications.
- Serving as the basis for expression of fiscal policy for service employees.
- Being a valuable planning aid, especially in the preparation of current and long-term budgets.
- Being a useful control device in that salaries and wages are not subject to manipulation.
- Providing a means for appraisal of compensation equity among po-

sitions within a given class, and among the several classes. It also makes possible appraisal of the plan in relation to prevailing rates in other areas and occupations.

- Forming the basis for recruitment, selection, and promotion for service personnel.
- Removing administration of service personnel from the expediency level and raising it to one of direction and control.
- Promoting economy and efficiency in that it is designed to employ only the number of employees needed to perform the services, and to attract and retain personnel competent to perform them.
- Clarifying relationships within the school organization, because duties and responsibilities are clearly defined.

One of the difficulties in developing a compensation plan for service employees is that of controlling expenditures so that they do not seriously affect the salary levels of professional employees. This possibility can be minimized by careful planning, which involves the following.

Employment of service personnel solely on the basis of established need. This approach is not as obvious as it sounds. It involves, primarily, job analyses to determine the work to be done and the number of personnel required to perform the work. It also entails studies to determine whether certain types of work can be performed more economically by special contract than by regularly employed personnel.

Sound recruitment and selection procedures. Although this subject has been treated in detail in Chapter 6, it should be noted here that recruitment and selection procedures that attract competent individuals, especially those with multiple skills, may help to minimize outlays for service personnel, and at the same time provide essential services.

Maximum utilization of personnel. Carefully planned work schedules, labor-saving equipment, effective employee supervision, and training opportunities are a few of the many practices employed to secure maximum returns from expenditures for service personnel.

Structuring the Compensation of Service Personnel

Figure 12.9 and Table 12.7 have been included to illustrate the kinds of decisions involved in developing a salary or wage structure for service personnel. Figure 12.9 has been designed to illustrate a structure that includes all service personnel. The focus of Table 12.7 is on the design of a separate structure for secretarial and clerical personnel. The major points of interest in Figure 12.9 and Table 12.7 may be summarized as follows.

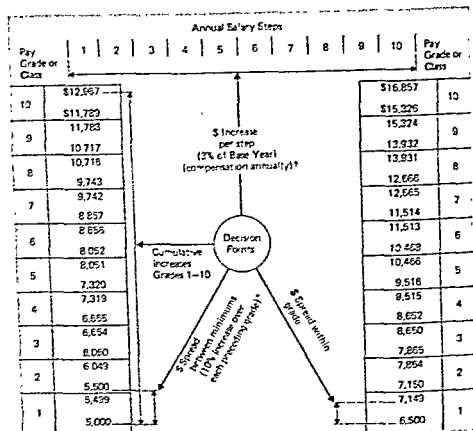


Figure 12.9. Anatomy of salary structure for service personnel, Middletown school system.

- * The upper and lower limits of each salary interval in the left hand column are computed by multiplying the upper and lower limits of the next lower interval by 1.1 (a 10% increase).
- † The upper and lower limits of each salary interval in the right hand column are determined by multiplying the corresponding values in the left hand column by 30% (3 percent of base salary \times 10 years).

- The compensation of service personnel can be structured by a series of calculations which includes using pay differentials for different position levels, using labor-market salary indicators to price the structure, and using a salary range for each salary class or grade included in the structure. If two structures are deemed necessary, the concepts in Table 12.7 can be employed to establish both a salary and a wage structure for personnel in each category. Either plan (Figure 12.9 or Table 12.7) can be used to develop a comprehensive

Table 12.7. Method of Structuring Compensation of Secretarial and Clerical Personnel

Steps in Compensation Scale	Compensation Levels		
	Formula	Group 1	Group 2
11	$P + (RP \times n/n)$	(Range = $\pm .15P$)	(Range = $\pm .125P$)
10	$P + (RP \times 4/n)$	$P + (.15P \times 5/5)$	$P + (.125P \times 5/5)$
9	$P + (RP \times 3/n)$	$P + (.15P \times 4/5)$	$P + (.125P \times 4/5)$
8	$P + (RP \times 2/n)$	$P + (.15P \times 3/5)$	$P + (.125P \times 3/5)$
7	$P + (RP \times 1/n)$	$P + (.15P \times 2/5)$	$P + (.125P \times 2/5)$
6	P (Midpoint)	$P + (.15P \times 1/5)$	$P + (.125P \times 1/5)$
5	$P - (RP \times 1/n)$	P (Midpoint)	P (Midpoint)
4	$P - (RP \times 2/n)$	$P - (.15P \times 1/5)$	$P - (.125P \times 1/5)$
3	$P - (RP \times 3/n)$	$P - (.15P \times 2/5)$	$P - (.125P \times 2/5)$
2	$P - (RP \times 4/n)$	$P - (.15P \times 3/5)$	$P - (.125P \times 3/5)$
1	$P - (RP \times 5/n)$	$P - (.15P \times 4/5)$	$P - (.125P \times 4/5)$
		$P - (.15P \times 5/5)$	$P - (.125P \times 5/5)$

P = Midpoint salary based on prevailing compensation in marketplace for position; R = range of compensation expressed as per cent of P above and below midpoint; n = number of steps in compensation structure of the position above and below midpoint.

- Illustration:
- Clondercroft school system has a secretarial-clerical staff that can be grouped according to responsibility into three compensation levels.
 - The average salaries (midpoints) for each of the three groups based on prevailing conditions in the labor market are \$7,000, \$8,000, and \$5,000, respectively.
 - The compensation ranges established by the Board of Education for each of the three groups are the following: Group 1: 30% or $\pm .15$ of midpoint salary; Group 2: 25% or $\pm .125$ of midpoint salary; Group 3: 20% or $\pm .10$ of midpoint salary.
 - Number of steps above and below midpoint = 5.
 - Secretary in Group 1 at ninth step in compensation scale receives $P + (.15P \times 3/5) = \$7,000 + (\$1,050 \times 3/5) = \$7,630$.
 - Clerk-typist in Group 3 at third step in compensation scale receives $P - (.10P \times 3/5) = \$5,000 - (\$500 \times 3/5) = \$4,700$.

structure for all service personnel, or a special structure for a selected personnel category.

- The key decision points involved in establishing a salary or wage structure, as illustrated in Figure 12.9, include the number of pay grades or classes to include in the structure, the number of annual salary steps, the base salary or wage rates for each class, the dollar increase per annum, the range of salaries between the top and bottom classes, and the percentage spread within as well as between grades.
- Personnel are assigned to salary classes or grades on the basis of the value placed by the organization on the position they occupy.
- Personnel are placed on, and progress through, the steps in the compensation scale on the bases of criteria established by the administration. These may include such factors as responsibility, performance, experience, and value to the organization.¹⁹
- Compensation groups, classes, or grades can be fewer or more numerous than those illustrated in Figure 12.9 and Table 12.7. Similarly, the number of steps in the structure and the pay differentials between and within the grades can be varied to meet the needs of the school system.²¹

Summary

In this chapter attention has been focused on principles and methods of resolving problems connected with the compensation of administrative and service personnel.

Beyond the basic requirements for any compensation plan (compensation is related to contribution; compensation is internally consistent, externally competitive; and compensation administration is perceived by personnel to be rational and fair), pay structures for instructional, service, and administrative personnel differ in several ways. Not only do the conceptual, technical, and interpersonal skills required of these three groups differ; the activities relating to the work performed range from manual labor to highly complex planning and decision-making.

The compensation of executive positions is of significance because the

¹⁹ For a comprehensive treatment of position and job evaluation as it relates to compensation, see Joseph J. Famularo, Ed., *Handbook of Modern Personnel Administration* (New York: McGraw-Hill Book Company, 1972), Part 6.

²¹ For a discussion of conversion from hourly to salaried methods of compensating service personnel, see Harold W. Davey, *Contemporary Collective Bargaining*, 3rd ed. (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1972), Chap. 10.

results the system achieves are likely to reflect the contribution of executives rather than the contributions of those in lower-level positions.

The concept of organization structure can be used effectively in planning administrative compensation because equity in pay demands that all persons should be rewarded for the level of work they are employed to perform. Effective analysis of the organization structure, and the relative worth of positions comprising it, can be facilitated by the use of four structural planning tools—the position guide, organization chart, structural analysis diagram, and compensation scattergram. The precision with which positions in the administrative hierarchy are described, titled, and related to each other will have a significant bearing on the acceptance, operation, and lifespan of the compensation plan. In short, organization planning is an important antecedent to compensation planning.

Collective Negotiations and the Personnel Function

The twentieth century has been referred to as the second great transition in the history of mankind. This period has been identified by Boulding as the time of the transition from civilized to postcivilized society.¹ The magnitude, rate, and scope of change in the affairs of man during this era have been unprecedented. Vast changes are taking place not only in science and technology, but in social institutions as well, including modifications in the moral, religious, aesthetic, political, economic, and educational aspects of life. Educational institutions have not been excluded from this upheaval. At no time has the ferment in education been more dramatic than during the 1960's. It was then that teachers began to organize extensively in protest against employment conditions. The movement has since led to demands for better salaries, protection from physical assault, economic security, freedom from paternalism, and the right to participate in decisions affecting the conditions under which school personnel work.

The institutional revolution, inherent in the current transition, has been viewed by many with disbelief. Many boards of education have looked with incredulity upon the use of collective negotiations by teachers to resolve their grievances. Further, they have been stunned at the thought of having to deal with several types of unions or associations, representing both professional and service personnel. Application of collective negotiations techniques to school affairs has made it necessary for board and school administrators to adjust to new and changing roles in determining conditions of employment. School systems have been forced to master collective negotiations procedures, just as they have learned to deal with other educational and organizational problems imposed upon them by a changing social order. In this chapter we shall focus on one facet of collective negotiations—the process by which they are conducted. Eventually, the collective negotiations process will probably be employed

¹ Kenneth Boulding, *The Meaning of the Twentieth Century* (New York: Harper & Row, Publishers, Inc., 1964), 2.

universally in conducting school employee relations, and will require adaptations of school district administrative machinery. This assumption underlies our treating the topic as a facet of the personnel function. The assumptions are also made that collective negotiations must be brought into the mainstream of school system planning, that new roles and responsibilities will result from, and will be essential to, the operation of the process, and that attainment of organizational objectives requires a positive approach to collective negotiations.

Nature and Characteristics of Collective Negotiations in Public Education

Collective negotiations may be defined as a process in which representatives of the school personnel meet with representatives of the school system to negotiate, jointly, an agreement defining the terms and conditions of employment covering a specific period of time. The following summary statements are intended to identify important characteristics of the collective negotiations process. It is useful to review these propositions and to show their relevance to the personnel function before going on to a discussion of the various steps involved in collective negotiations.

- The major goal of unions or employee associations is to maximize opportunities and security for the membership. These include a higher standard of living, financial protection, position security, rights, and opportunity for advancement. The main goal of the administration of a school system is to operate that system effectively in the public interest and to retain the authority and rights it needs to accomplish this purpose. Unions seek to restrict unilateral decision-making by the board of education, and to modify decisions so that they are in accord with the needs and desires of the membership. The school system resists moves that appear to encroach upon its prerogatives.
- Collective bargaining goes beyond the willingness of a board of education to hear from, listen to, or be consulted about conditions of employment. Collective negotiation means *codetermination* of the terms of employment, which, when mutually agreed to, bind both parties to those terms.
- Formal acknowledgment (recognition) by the board of education of an employee organization to represent all employees of that jurisdiction (members and nonmembers) means acceptance by the board of the collective negotiations principle.
- Collective negotiation in the public sector gives the public employee

the right to participate, through his chosen representative, in the determination of personnel policies and practices that affect conditions of employment. The extent of such participation and the principles and procedures governing its exercise are matters for which satisfactory solutions are yet to be reached.

- If more than one personnel association is recognized by the board of education, each of the units separately designates its negotiating representative. Large school systems, for example, may have one negotiating unit for teachers, one for maintenance personnel, and one for secretarial and clerical workers. Coalition negotiation involves a systemwide entity representing all personnel, even though they belong to separate units.
- Any negotiated agreement must be within the limits of the board's lawful authority.
- Even when the board adheres to the principles of collective negotiations, it may receive the views of individuals or of other personnel groups not formally recognized as negotiating units. Agreement on the terms and conditions of employment, however, must be reached with the representatives officially designated by the recognized negotiating unit or units.
- Collective negotiation imposes restrictions on both the school system and the personnel association or union. Unilateral action is prevented. The school system must negotiate with the official negotiating unit or units.
- The collective negotiations process, as outlined in Figure 13.1, is one of several alternatives by which a contractual agreement between two parties can be negotiated. Adherence to the process obligates both parties to initiate and maintain bilateral procedures to resolve mutual organizational problems. Each grievance issuing from the

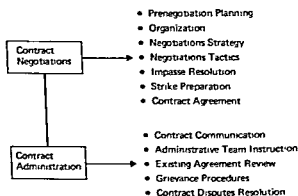


Figure 13.1. Model of the collective negotiations process.

contract is an extension of the collective negotiations principle through which both parties direct their efforts to establish terms and conditions of employment.

- The collective negotiations process in a school system consists essentially of two subprocesses: *agreement negotiation* and *agreement administration*. This is considerably different from other personnel processes in that it transcends the boundaries of the school system by its impact on the political, social, economic, and educational facets of local communities, the state, and nation. A collective negotiations agreement in New York, for example, may have far-reaching consequences for school systems across the state and nation.

The ultimate goal of collective negotiations is the establishment of a sound and stable relationship between the school system and its personnel. Only by participation of both parties in resolution of disagreements and by the good faith of either side in yielding to reasonable demands can this end be achieved. Adherence of the board to its responsibilities to constituents is another essential ingredient of harmonious personnel relationships. In the following sections let us examine how personnel administration can be employed to facilitate wholesome relationships between the board and personnel units.

Collective Negotiations and the Personnel Function

As the practice of collective negotiations extends to increasing numbers of school systems throughout the nation, it becomes apparent that greater attention must be given to organization or to reorganization of the personnel function. The increasing amount of work required of school systems in collective negotiations, as well as the elaboration of the personnel function brought about by social change (social security, retirement, collateral benefits, public employment policy), have led to a recognition of the need for fully staffing the function in the central administration of a school system.

Unions often attempt to restrict the right of the administration to transfer, promote, demote, discipline, appraise employee performance, grant merit increases, or introduce staffing innovations. The personnel director in a school system that adheres to the collective negotiations principle will find that he cannot act unilaterally to establish or administer certain personnel processes. Unions may insist on codetermination of processes and procedures related to manpower planning, compensation, appraisal, security, and organizational justice. The impact of collective negotiations on personnel processes is therefore extensive.

As we examine the relationship of the personnel function to the collective negotiations process, it is worth remembering that negotiations result in economic decisions that have enormous significance for the school system, its personnel, its clients, and the community. These decisions may have a profound effect on the extent to which aims of the personnel function can be realized.

The personnel function should be designed to facilitate the collective negotiations process and its subprocesses. Personnel administration is concerned not only with protecting the interests of the organization so that established goals can be met, but also with taking advantage of all opportunities in the collective negotiations process to satisfy the needs of individual staff members and to create a framework conducive to goal achievement.

As will be shown in the text following, there are at least three major functions in collective negotiations which the personnel office is responsible for systematizing. The first is that of coordinating or facilitating the collective negotiations process, i.e., organizing and administering the process so that problems can be identified, dealt with, and resolved. Included here is the coordination of central administration activities relating to bargaining goals, strategies, and tactics.

The second function for which the personnel office exercises responsibility in collective negotiations is the systematization of collecting, refining, storing, retrieving, and utilizing data essential to the conduct of bargaining. Without availability of current and relevant data, serious concession errors may result.

Next, the personnel office is centrally involved in administering the negotiated contract, including the keeping of systematic records of experiences involved in contract implementation, as well as the processing of grievances.

The collective negotiations process is closely interrelated with other processes included in the personnel function. Manpower planning, as discussed in Chapter 4, is a primary area of concern for collective negotiations because it establishes the future organization structure, the number of positions, rules for promotion-from-within, transfers, staff curtailment, and the nature of the work to be performed. Similarly, matters pertaining to salaries, wages, and collateral benefits are of prime concern to both parties in the negotiations process.² Security of professional personnel through tenure, academic freedom, retirement, termination, and protection from arbitrary treatment is another personnel process (see Chapter 15) closely related to the collective negotiations process.

Collective negotiations also can be viewed as it relates to two other

² Allen W. Smith, "Have Collective Negotiations Increased Teachers' Salaries?" *Phi Delta Kappan*, 54:4 (December 1972), 268.

facets of the personnel function. The process provides system and union personnel an outlet for the satisfaction of various human needs, including self-actualization and expression of needs for information, attention and recognition, independence, dominance, and achievement. Collective negotiations could also provide a context within which to improve the development of personnel. Nelson argues, for example, that the master agreement could exert the force necessary to enhance such growth, though this approach would require a shift in focus from *development activities*, which are designed to result in professional growth, to *behavioral changes* or competencies as evidence of such growth.³

Thus, the collective negotiations process, in its interrelationship with other processes, is not only an extensive and complex activity; its proper conduct is essential to organizational effectiveness and unity. The school system has much to gain by staffing the personnel office with individuals who are mature, intelligent, technically competent, and who are oriented toward problem resolution and mission achievement.

External Forces and Collective Negotiations

Since its inception early in the third quarter of the twentieth century, the collective negotiations movement in public education has advanced from mere survival to legal recognition. However, many critical problems await resolution as the movement seeks wider public acceptance. Because collective negotiation is conceived as one of several interrelated processes in the personnel function, let us look briefly at some of the forces external to the system which affect and engender issues and problems with which the process must be concerned.

PUBLIC POLICY FRAMEWORK

The observation was made in Chapter 6 that employment in the public sector is governed to a considerable extent by public employment policy. The same policy governs the collective negotiations process. A majority of the states have enacted legislation that regulates in some manner the practice of teacher-school board collective negotiations. Analysis of the

³ For a discussion of the personnel function and need satisfaction, see Wendell French, *The Personnel Management Process*, 3rd ed. (Boston: Houghton Mifflin Company, 1974), 620. The relationship of collective negotiations and personnel development is discussed in J. H. Nelson, "Collective Bargaining: An Instrument for Staff Development," *Community and Junior College Journal*, 43:27 (October 1972), 27.

enacted legislation indicates that state legislatures have focused upon the following items: coverage, negotiating unit, representation, administration, negotiable items, impasse and grievance procedures, unfair practices, strike provisions, deadlines for reaching agreement, and the final form of the agreement.⁴ A passage from the Rhode Island Teachers' Arbitration Act typifies legislative intent and brings into focus an unresolved and basic difficulty in the collective negotiations process:

Declaration of policy—Purpose.—In pursuance of the duty imposed upon it by the constitution to promote public schools and to adopt all means necessary and proper to secure to the people the advantages and opportunities of education, the general assembly hereby declares that it recognizes teaching as a profession which requires special educational qualifications and that to achieve high quality education it is indispensable that good relations exist between teaching personnel and school committees.

It is hereby declared to be the public policy of this state to accord to certified public school teachers the right to organize, to be represented, to negotiate professionally and to bargain on a collective basis with school committees covering hours, salary, working conditions and other terms of professional employment, provided, however, that nothing contained in this chapter shall be construed to accord to certified public school teachers the right to strike.

Right to organize and bargain collectively.—The certified teachers in the public school system in any city, town or regional school district, shall have the right to negotiate professionally and to bargain collectively with their respective school committees and to be represented by an association or labor organization in such negotiation or collective bargaining concerning hours, salary, working conditions and all other terms and conditions of professional employment. For purposes of this chapter, certified teachers shall mean certified teaching personnel employed in the public school systems in the state of Rhode Island engaged in teaching duties. Superintendents, assistant superintendents, principals and assistant principals are excluded from the provisions of this act.⁵

The foregoing citation from Rhode Island and legislation governing the collective negotiations process in public education brings into clear relief three premises. They relate to external forces affecting the collective negotiations process in public education:

- Public policy protects the right of school personnel to organize and to be represented in public negotiations.

⁴ Education Commission of the States, *A Legislator's Guide to Collective Bargaining in Education*, Research Brief, Vol. 3, No. 4 (Denver, Colo.: The Commission, 1973).

⁵ An act in Amendment of and in Addition to Title 28 of the General Laws Entitled, "Labor and Labor Relations," as Amended, and Providing for the Settlement of Disputes Between Certified Public School Teachers and School Committees.

- *Strikes by publicly employed personnel are contrary to theories of state sovereignty.*
- *Preserving the right to collective negotiations without resort to the strike is a modern public-employment policy dilemma. Most laws on public employment deny a right to strike, but they have this failing—they provide nothing in its place.*

It is also apparent from examination of governmental employment policies and actions that within less than a decade the collective negotiations process has undergone rapid and fundamental change, the crux of which has been the movement from unilateralism to bilateralism and trilateralism.

BIG EDUCATION

Another external force indirectly affecting the collective negotiations process in the individual school system is the increasing strength and militancy of national and state organizations of public school personnel. It has been observed that the nation's three million teachers and educators, together with their families, account for a larger segment of our population than the historically powerful farm block. Both state and national teacher organizations have stepped into the political arena, using funds to support candidates favorable to their interests.

The majority of the nation's teachers are now covered by collective agreements. It must be assumed that teacher organizations will play an important role through the collective negotiations process in formulating and implementing personnel policies at the federal, state, and local levels. The increased political and legislative capability of teachers' organizations has brought about a shift in emphasis from passage of teacher welfare legislation to dealing with more fundamental problems, ranging from renovation of state school-support structures to increasing representational capabilities at the local and regional levels. All of the foregoing indicate the demise of unilateralism in personnel administration.

UNIONS, PUBLIC ESTEEM, PUBLIC PRESSURES

Another external force that affects any collective negotiations process in the public sector is the body politic. Every community depends for its effectiveness and quality of life upon its public servants—those who teach their children, make the water drinkable, remove the refuse, treat the waste, deter crime, respond to emergencies, extinguish the fires, regulate the traffic, control pestilence, and collect the taxes. Unionization

of public employees has been accompanied by prolonged strikes, disruption of services, and the decline of unions in public esteem to the lowest point in nearly four decades, according to a Gallup poll.⁶ Public frustration about disruption of public services has led to pressures of various kinds; as a result, appeals to agencies external to the collective negotiations process are increasing. These include the courts, the governor's office, the mayor's office, the city council, and other governmental bodies in a position to bring relief when the public interest is endangered. In short, public dissatisfaction with disruption in public services has resulted in intervention by governmental agencies. Both the unions and the school systems must anticipate that the collective negotiations process will no longer be confined to two parties.

The Collective Negotiations Process

Let us turn now to the actual steps in the process by which the board of education and the authorized negotiating unit move from prenegotiations activities to a collective agreement.

As illustrated in Figure 13.1, the process of collective negotiations consists of two stages, *contract negotiations* and *contract administration*. A host of factors affect the conduct as well as the outcome of the collective negotiations process. It is hoped that the product will be an agreement satisfactory to both parties and conducive to a better school system. In order to realize this happy state of affairs, however, a well-defined, clearly understood, and properly functioning negotiations process is essential. On the other hand, the absence of a well-conceived collective negotiations process may have harmful effects on the school system's ability to recruit personnel or to deal systematically with conflict. Prospective applicants for positions may decide to reject employment in school systems that have reputedly poor negotiations procedures, or in those that do not employ collective negotiations. Indistinct and ill-conceived procedures are little better than none at all because of their potential for nurturing constant controversy and dissent.

We shall not be concerned here with settling the multitude of issues related to collective bargaining in education.⁷ We are interested in de-

⁶ George Gallup, "Public Rating of Labor Unions Now at Lowest Point in 57 Years," *The Gallup Poll* (Princeton, N.J.: Field Enterprises, Inc., January 11, 1973).

⁷ For a discussion of contemporary issues related to collective negotiations, see Myron Lieberman, "The Future of Collective Negotiations," *Phi Delta Kappan*, 53:4 (December 1971), 214-216. For an extensive discussion of major provisions of proposed federal collective bargaining statutes, as well as the anticipated effects of such

fining the collective negotiations process so that it will lead to more effective negotiations practices in local school systems, in showing the impact of the collective negotiations process on the personnel function, and in clarifying the role of the personnel function in collective negotiations. Important as it is for boards of education to become familiar with the issues involved in *collective negotiations contracts*, it is equally necessary for them to develop techniques for settling the issues. Collective negotiation is a relatively new activity to boards of education, and some have plunged in without first learning to swim. Some of the undesirable aspects of negotiated settlements could have been avoided through prior acquisition and application of relevant knowledge. Although good techniques ensure neither avoidance of conflict nor mutually satisfactory agreements, they can contribute importantly to these ends.

Contract Negotiations

As illustrated in the model of the collective negotiations process (Figure 13.1), the first phase of the process is contract negotiation. Included in this sequence of events are various interrelated activities such as planning, organizing, developing strategy and tactics, impasse resolution, and strike preparation. The discussion that follows deals with planning, including consideration of the following questions: Why is prenegotiations planning important? What information is needed for prenegotiations planning? What types of plans should be prepared? What should be the system's philosophy on negotiations relationships with the union?

IMPORTANCE OF PLANNING

Planning for negotiation is a continuous activity. It begins with the signing of an agreement in anticipation of the next negotiation. One of the major reasons for the now generally recognized need for greater planning time is the complexity and number of issues to be negotiated. Although economic issues, including salaries, wages, retirement, leaves of absence, group insurance, extra pay for extra work, and compensation incentives usually constitute the core of agreement discussions, noneco-

legislation on school personnel, see Education Commission of the States, *A Legislator's Guide to Collective Bargaining in Education*, Research Brief Vol. 3, No. 4 (Denver, Colo.: The Commission, 1975), 37-49, also Myron Lieberman, "Neglected Issues in Federal Public Employee Collective Bargaining Legislation," *The School Administrator*, 32:6 (June 1975), 16-17.

nomie issues such as organizational justice, performance appraisal, non-teaching functions, and class size have become equally important in the teaching profession. Moreover, the range of collateral benefits available to school system personnel has increased substantially in recent years. The list of benefits provided for school personnel promises to multiply as the number and amount of benefits increase in the private sector of the economy. Finally, many recent social issues related to education now require resolution at the bargaining table, especially those involving civil rights. Integration, decentralization, transfer of teachers to ghetto schools, and community control of local school attendance units are illustrative agenda items. Accordingly, the need for sophistication at the bargaining table, based on extensive and careful preparation, is no longer a debatable matter for boards of education; boards are aware of the time needed to gather facts, relate them to issues, decide strategy, and complete budget planning after contract settlement.

PHILOSOPHICAL BASES OF COLLECTIVE NEGOTIATIONS RELATIONSHIPS

Structuring the school system's planning for its relationship with a union should be an integral part of the design for achieving the basic goals of the organization. Thus, attaining the long-term system goals requires a positive philosophy of collective negotiations. The kinds of bargaining relationships that might obtain during the negotiations process have been described by Walton and McKersie in this fourfold analytical framework:

Distributive bargaining: Goals of both parties are in conflict. Total views are assumed to be fixed, so that "one person's gain is another's loss."

Integrative bargaining: Goals are not perceived as conflicting, problems are perceived as areas of mutual concern.

Attitudinal structuring: Activities in and surrounding negotiations that serve to change attitudes and relationships.

Intraorganizational bargaining: Activities designed to bring expectations of both parties in alignment with those of chief negotiator.⁸ 9-10

⁸ Richard E. Walton and Robert B. McKersie, *A Behavioral Theory of Labor Negotiations* (New York: McGraw-Hill Book Company, 1963), 4-6.

⁹ Flippo's framework of collective bargaining relationship includes the following: militant opposition, armed truce, working harmony, system-union cooperation. Edwin B. Flippo, *Principles of Personnel Management*, 2nd ed. (New York: McGraw-Hill Book Company, 1965), 475-477.

¹⁰ Calhoun has outlined the philosophies of management in collective negotiations as follows: (a) fighting; (b) tough but fair, (c) trusteeship and stewardship; (d) jurisprudence; and (e) participation. Richard P. Calhoun, *Personnel Management and Supervision* (New York: Appleton-Century-Crofts, 1967), 396-398.

The traditional and most common form of negotiations in school systems is perhaps the distributive type. Far less prevalent is the integrative type of negotiations, which involves less of an offensive-defensive position and more of a cooperative approach to fact-finding, problem exploration, and agreement resolution.

It goes without saying that the multiple variables affecting school systems in contemporary society make it imperative that the parameters of future negotiations go far beyond distributive and into integrative negotiations.

This is the essence of Wynn's contention, summarized in Figure 13.2,

	<i>Collective Bargaining</i>	<i>Collective Gaining</i>
Motivation	Rewards, reprisals	School improvement
Timing	Procrastination until eve of contract expiration, opening of school, or strike deadline	Intermittently throughout year, little pressure of time
Agenda	Demands, counterproposals	Problems
Scope of negotiations	Vigorously contested	Virtually unrestricted
Session	Closed to outsiders	Open
Size of team	Small	Larger
Spokesman	One	Multiple
Relationship with other team	Adversary	Collaborative
Behavior	Pressing for concession or capitulation	Joint problem solving and decision making
Position	Intransigent	Flexible
Demeanor	Vituperative	Considerate
Role of superintendent	Adviser to board and expert witness	Adviser to both, expert witness, chairman, mediator, fact finder, arbitrator, brainstormer, etc.
Resistance point	Obscured	Revealed
Input	Inflated demands	Minimum expectations
Communication	Deceptive	Clear
Dialogue	Argumentative, exhortative, belabors disagreement	Questioning, brainstorming, interpretative, builds on agreement
Caucuses	Frequent	Rare
Mood	Acrimonious, hostile	Friendly, empathetic
Weapon	Power	Knowledge
Impasses	Frequent	Rare
Result	Compromise; both win something and both lose something	Creation; both gain

Figure 13.2. Comparison of two models of collective bargaining—collective bargaining and collective gaining. Source: Richard Wynn, "Collective Bargaining," *Phi Delta Kappan*, 51:8 (April 1970), 415-419.

which emphasizes rational inquiry, open discussion, and peaceful persuasion.

The import of the previous discussion is that the attitude with which the system enters into the collective negotiations process is the most critical element in negotiations planning. Clear objectives—soundly conceived, articulated, and clearly presented—can set the tone and direction of negotiations. Commonality and mutuality are the lenses through which problems, issues, and objectives are assessed.

INFORMATION NEEDS

Review of Existing Agreement. Although school systems vary considerably in their advance preparation for negotiation, depending on the size of the system and the number of unions or associations with which negotiations will be conducted, one of the standard preparation procedures is a thorough review of the existing agreement. This document may be analyzed from a number of angles, including the following:

- Are there clauses in the present contract that need modification?
- What are the reasons for needed modifications? What evidence has been gathered (statistics, case studies) to support the need for contractual modification?
- Has the agreement achieved the goals the school system expected to achieve as a result of its formulation and acceptance?
- Is evidence available to indicate violation of the terms of the agreement?
- What difficulties have been encountered in administering the agreement?
- Have desirable items been excluded from the agreement?
- Does the present agreement permit the flexibility required to administer the school system effectively?

The preceding questions are typical of those that should be included in a rigorous examination of the existing agreement. Not only will this appraisal bring into focus needed modifications, it will point to the types of data that should be collected to consider these matters at the bargaining table.

Comparison with Other Contracts. Another useful item of intelligence in negotiation is the extent to which the current agreement is in accord with or deviates from similar agreements in the area, region, state, or nation. The manner in which other school systems have negotiated contracts, the items negotiated, and evaluations by other systems of their

past experience with the total contract, as well as its constituent elements, provide useful information in the process of preparing to negotiate a new agreement.

Grievances and Arbitration. An essential phase of preparation for negotiation is a review of the grievances and arbitration decisions growing out of the existing contract. The school system will want to know the number, types, and causes of formal grievances, the manner in which they have been handled, the nature of the settlements, and the relationship of grievances to weaknesses in the agreement.

Prenegotiation Conference. Anticipation of what union demands will be is a standard activity in negotiation preparation. On the basis of these forecasts, information will have to be gathered to estimate costs and to weigh the impact of the proposals on the system, the budget, tax structure, and public opinion. What the strategy and tactics of the school system will be in dealing with proposals and in making counterproposals will depend upon how well officials can anticipate and prepare for issues to be dealt with in negotiating sessions. A prenegotiations conference is one way for both sides to acquire information concerning the other's negotiating position. The exploration entailed enables both parties to identify relevant issues, problems, facts, and attitudes prior to the crystallization of negotiating positions. Such advance knowledge may well lead to an avoidance of extreme positions, especially if there is a meeting of minds on pertinent factual data on which negotiations may revolve.

Collection of Data. Regardless of the direction the actual negotiations may take, a considerable amount of information must be gathered well in advance of the first negotiating session. Standard economic data, such as current salaries, wages, and collateral benefits, are needed. It is also necessary to know how these data compare with those of school systems in the area, region, state, and nation, and to know how trends in school fiscal practices compare with those for national and regional economic indicators.

Review of Negotiation Techniques. A review of the nature of techniques employed in previous negotiations is certain to yield useful information to school officials as they proceed with preparation for negotiation. The procedures employed by both the system and the union need to be examined for certain kinds of information—the concessions made by either side, the competence of the negotiating teams, the issues of significance, and the strategies and tactics employed. Consideration of these factors will help in developing guides for future sessions.

Consultation with School Administrative Personnel. The experiences of principals, supervisors, and other administrative personnel involved in administering the contract often yield information that is useful in making decisions about changes in the current agreement. The individuals to whom grievances are usually reported, and who must make adjustments when warranted, are ideally situated to collect and evaluate such information. Those who bear the brunt of putting an agreement into effect are most likely to have insights into its strengths and weaknesses.

ORGANIZING NEGOTIATION DATA

The types of information needed in negotiations are so extensive and varied that they must be organized and refined in systematic fashion so as to be of use to the negotiators. One approach to making essential information readily available is the preparation of a negotiation handbook containing data on practically any subject on which discussion and negotiation is anticipated. Items conventionally included in the handbook are the current agreement and its history, present proposals of both parties, data derived from surveys of relevant economic and noneconomic issues, school system budget summaries, and minutes of negotiating sessions. In addition to furnishing substantive information on which to base negotiations, the handbook serves as a record of events that occurred prior to reaching agreement, should there be a dispute about the interpretation of clauses in the contract.

Although there are numerous ways of allocating responsibilities for the collection of data necessary to make decisions about collective negotiations, a logical approach is to assign this activity to the personnel function. The reasoning behind this suggestion is based on the principle of unity of function. Those who do the bargaining will be called upon either to collect or to furnish data. It is usually they who know best what kinds of issues may arise and what kinds of knowledge, evidence, and insights will be needed to back up their negotiations. One individual in the personnel unit should be assigned the responsibility for planning and coordinating activities preparatory to negotiations, especially those relating to data collection and organization. The personnel director is a logical choice for this assignment, inasmuch as he or she has responsibility for coordinating collective negotiations with the other personnel processes. If the organization does not have a personnel director, responsibility for coordinating the collection and organization of information should, nevertheless, be assigned to a single individual within the central administration. This individual will, of course, call on various line and staff

personnel to make certain analyses and to request information needed for the negotiating team.

ORGANIZING FOR NEGOTIATIONS

In the preceding section of this chapter we explored the planning aspects of collective negotiations. Illustrated were activities that relate to the specification of the belief system that governs negotiations, as well as the assembly, summary, and organization of information needed by the policy committee and the negotiating team. At the time the fact-gathering process is initiated, a concurrent decision is also needed, in order to determine what agents will represent the school district in negotiating with the teachers association, or, perhaps, the union representing custodial and clerical personnel. In this section, we will examine some of the salient ramifications of this problem.

Before representatives of both parties sit down at the bargaining table, it is essential that the school system organize activities relating to collective negotiations; that is, to decide what work is to be done, what mechanisms are needed to perform the work, and what the rules will be for individuals delegated to do the work. As outlined in Figure 13.3, one conceptual approach to a collective negotiations organization consists of two mechanisms, a policy committee and a negotiating team. The functions of each group will be examined in turn.

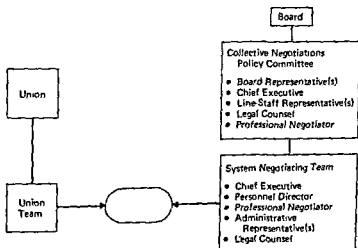


Figure 13.3. Model of school system organization for negotiations.

The Policy Committee. The number and complexity of modern collective negotiations issues require a central committee to develop policy recommendations for consideration by the board of education. One function of this group is to advise the board on systemwide personnel policies related to collective negotiations, such as compensation, security, promotion, transfer, and other conditions of work. A second function is to advise the board with respect to strategies and tactics that should be adhered to in collective negotiations sessions. Related tasks might include reviewing current agreements and proposing modifications, rendering advice and service on the formulation of system proposals, estimating the consequences of either system or union proposals, studying the long-term effects of collective negotiations agreements, and preparing background studies on various aspects of collective negotiations agreements or proposals.

The composition of the policy committee may include representatives from the board of education, the chief executive, line and staff administrative personnel (such as principals, supervisors, and assistant superintendents), legal counsel, and professional negotiators or other consultants. No single model can be suggested for the policy committee. As a generalization, however, it should be noted that the board of education, the immediate superintendency team, and administrative extensions of the superintendency should have representation.

THE NEGOTIATING TEAM

Much attention has been devoted in the literature of the past decade to the problem of who will represent the board of education at the bargaining table. The models shown in Figure 13.4 show that there are various approaches to the conduct of negotiations, ranging from individuals to teams representing the two parties. Both theory and practice suggest that the conduct of negotiations has many ramifications and requires a combination of individuals with a variety of skills to resolve what often becomes a series of complex problems. Consequently, model 4 in Figure 13.4 indicates that a team, rather than an individual, should

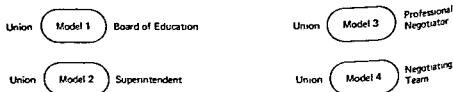


Figure 13.4. Alternative approaches to the conduct of negotiations.

represent the school system, even though responsibility for the actual negotiations may be delegated to a single individual (prime negotiator). The reasoning behind this position is that there are few individuals who can fully meet these requirements.

- Understand the operation of a school system in all its ramifications.
- Possess the knowledge to conduct negotiations within the established legal structure.
- Understand the needs of personnel groups and the ability of the system to satisfy those needs.
- Discern trends in personnel policies and procedures.
- Possess the ability to retain the confidence of the school system to make decisions in its behalf.

If the school system chooses to have a team similar to the model shown in Figure 13.3, one of the consequences of this arrangement might be that the board of education must delegate considerable authority to the negotiations team. Negotiators for the school system need authority to negotiate concessions at the propitious time, without requesting board permission. Further, round-the-clock negotiations are such that a board cannot be convened readily for review of every single item that arises.

Developing the Proposal. Another dimension of the model shown in Figure 13.3 is that the policy committee is responsible for shaping the negotiations proposal. Guidelines for developing the proposal are illustrated by these suggestions from the National Education Association to local teacher associations:

- A proposal, if adopted, must truly solve the problems which have generated it.
- The proposal must be worded so that it communicates the same thoughts to all readers.
- The proposal must be legally permissible.
- The association's proposal must be internally consistent.
- The proposal must be so structured that reasonable compromise does not endanger the association.
- The proposal must not embody a potential reduction in benefits to teachers by implication, by omission, or by direct statement.
- Proposals should be worded so as to avoid any hostile or suspicious reaction by the other team.
- If possible, the proposal should be worded so as to stimulate a predictable and answerable response.¹¹

¹¹ National Education Association, *How to Negotiate* (Washington, D.C.: Division of Field Services, National Education Association, 1969), 17-20.

ROLES OF TEAM MEMBERS

The roles played by representatives of the system's negotiating team influence the way they view their responsibilities and the manner in which they behave in the conduct of negotiations. The roles to which they are assigned affect how they perceive not only their own tasks, but how they perceive the tasks of others with whom they relate. The backgrounds and personalities of the constituents affect their conception of their own roles and their conception of the role of others. The roles of individuals identified in Figure 13.3 are now to be examined.

Superintendent of Schools. The negotiating team model (model 4 in Figure 13.4) places the superintendent of schools in the role of team chairman. The purpose of this arrangement is to place the responsibility for negotiation on the shoulders of a single individual, the board's chief executive. It also makes for unity of command in all negotiations activities; all team personnel are subordinates in this model to the chairman. *This plan does not mean that the chief executive should be the prime negotiator; it does mean that he coordinates for the board of education all activities and all decisions involved in collective negotiations.*

Principal. The principalship is an extension of the superintendency; hence, the principal, as one called upon to implement the contractual agreement at the operating level, must represent the school system. The model under consideration calls for a representative from the principal's group to be a member of the negotiating team. Regardless of whether the principals are represented on the policy committee or on the negotiating team, their role involves consultation in formulating policy decisions, as well as formulation of strategy and tactics. Their knowledge is especially important in analyzing changes that may be demanded by the teacher's association. The building principal has much at stake in the negotiations, because he will be responsible for the day-to-day administration of the agreement, including settlement of grievances arising out of the pact.

Personnel Director. The staff representative called for on the negotiating team is the personnel director. His role includes the following activities:

- Preparing a handbook for the negotiating team.
- Acting as consultant to the negotiating team on personnel policies and procedures.
- Assembling and interpreting facts relating to collective negotiations.
- Providing facts to the negotiating team on the day-to-day adminis-

tration of the current agreement, the grievances that have arisen, and the difficulties encountered in interpreting and administering all provisions of the agreement. It is generally assumed that the primary responsibility for administration of the collective negotiations agreement will be assigned to the director of personnel.

Consultants. It is quite conceivable that the negotiating team will have as its chief spokesman a professional negotiator who has the verbal and persuasive abilities to deal effectively with the teachers' association or unionized groups of service personnel. This practice, according to the model, is acceptable so long as the negotiator is subordinate to the chairman of the negotiating team—the superintendent of schools. No single type of professional negotiator exists, and no composite picture would do him justice. He must have the skills to do what all negotiators are paid to do, persuade the other side about the soundness of the position he represents.

Legal Counsel. Legal counsel, whether on or off the negotiating team, is indispensable to the conduct of its activities. Statutes governing various aspects of school personnel administration are replete with legal controls. The legal implications of any provisions in the current contract, as well as those in proposed changes in the agreement, must be thoroughly reviewed by such counsel. Legal services must be available, whether at the bargaining table or in the form of prior counsel. Understanding trends in court decisions and the drafting of contracts are not within the province of educators. Moreover, poorly defined agreements are constantly subject to misinterpretation, and undesirable clauses are difficult to remove from contracts. Negotiating without legal counsel is like sailing without a compass.

The negotiating team proposed in model 4 of Figure 13.4 is only one of many arrangements for developing agreements between the parties under consideration. Regardless of which model is adopted, care should be taken to see that the superintendent of schools is in the central position of leadership. As pointed out earlier, it should also be kept in mind that negotiators require a variety of skills, abilities, and knowledge. Composition of the negotiating team should be based on the selection of individuals with differing competencies, each of which is essential to the successful functioning of the team as a whole.

Negotiations Strategy

A strategy is one of several different kinds of plans aimed at accomplishing a specific purpose. Decisions involved in developing a strat-

egy are based to a considerable extent on anticipation of the responses of those affected by the plan.

Strategy in collective negotiations is concerned with the kinds of educational services the school system should deliver to its clients, procedures by which the system should develop and deliver these services, and means for motivating school personnel to cooperate voluntarily in accomplishing system goals. The latter should be such as to enable each individual member of the system to derive from his work a suitable standard of living, a sense of dignity and worth, and meaning in a complex society. Thus viewed, collective negotiations strategy is one of several kinds of plans developed by the school system to guide both its long-range and daily activities. Its primary intent is not to outmaneuver the other party at the bargaining table. Rather, it is concerned with determining the extent to which and the manner in which the strategic aims of the system can be furthered through the collective negotiations process. By way of illustration, the strategic aims of the system for its human resources may be to

- Provide the best compensation and collateral benefits possible within the ability of the school system.
- Provide incentives to enable each individual to give his best efforts to his work.
- Provide development opportunities to aid individuals to advance within the system.
- Provide leadership that enables each individual to do his best work.
- Establish working conditions, position security, and personal recognition that will make the school system an attractive place in which to work and plan a career.

Obviously, these are the kinds of conditions that the school system wants to achieve for its staff, regardless of the presence or absence of a teachers' association or union. Moreover, if a school system chooses to engage in collective negotiations, its strategic planning will consist, in part, of considering what proposals it plans to place on the bargaining table in order to achieve its long-term goals for its personnel and clients. By the same token, strategic planning also involves analysis of proposals to be made by the union, especially in terms of whether and to what extent such plans will assist the institution in attaining its purposes.

The central idea behind strategic planning for collective negotiations is that the collective negotiations process offers considerable opportunity for both parties to achieve their expectations. It should be noted also that the link between the personnel function and the collective negotiations process is a strong one—that the aims of the personnel function often coincide with those contained in proposals of teacher groups or supportive personnel.

Strategy planning in collective negotiations is essentially a decision-making process consisting of four phases: (1) defining the problem, (2) finding alternative solutions, (3) analyzing and comparing alternatives, and (4) selecting the plan or course to follow. This is to say that plans for achieving school-system goals for human resources through the collective negotiations process must be based upon a definition of what the school system intends to achieve, identification of the obstacles involved, examination of the alternative courses of action available, and evaluation of the consequences of each suggested plan. The same logic should be employed in evaluating proposals made by personnel groups to the school system. The system is interested in judging proposals on the merits of their contribution to the strategic aims of the total operation. The collective negotiations policy committee is one mechanism for strategic planning. It can recommend what proposals the school system should make, identify and analyze the proposals unions are likely to make, and suggest alternatives to both union and system suggestions.

Strategic plans will be affected, of course, by a variety of factors, including the resources of the school system and the attitudes of groups who influence plans—unions, board of education, community, and administrative personnel. There are many types of strategies a school system can adopt, such as rigid resistance to negotiations, defensive negotiation, avoiding decisive commitments, and finally, affirmative negotiation. The latter strategy, that of keeping in advance of the other party, is the one we advocate for the school system. This means that the best strategy for dealing with personnel groups in education is to view collective negotiations as a mechanism by which constructive steps can be taken to achieve for the people working in the school system the arrangements needed to integrate individual and organization, and to achieve simultaneous satisfaction of both individual and institutional needs. The strategic plan in negotiations really boils down to how the system plans to treat the human resources in its employ. If properly planned, it can be advantageous to everyone.

Negotiations Tactics

The tactics of collective negotiations are the particular actions taken by either party to achieve strategic objectives. Some actions are taken prior to negotiations; most are made at the bargaining table. Tactics are the means by which policy goals are translated into attainable objectives on which the school system seeks to secure agreement with personnel groups.

There is no set pattern whereby both parties maneuver to make ac-

commodations called for by their common and opposing interests. If the school system adopts an affirmative strategy to improve the conditions under which its personnel perform services, it is clear that this cannot be accomplished in a single agreement. Tactics may well be concerned with securing agreements on a series of subgoals which contribute to the broad strategic aims mentioned earlier. For example, it is difficult to improve a faulty compensation structure through a single agreement. Extensive improvements in the several elements that make up the compensation structure—such as salaries and wages, collateral benefits, extra pay for extra work, overtime, and noneconomic provisions—are generally not realized simultaneously. In order to secure incremental gains leading to the achievement of a specific objective, the tactics may have to include

- Putting in writing the strategic aims of the school system and the tactical objectives to be pursued in the forthcoming session. This information should be developed by the policy committee and circulated among the school system's policy and administrative groups, such as the board of education, policy committee, negotiating committee, and the administrative personnel not included in these units.
- Vesting one person, the chief negotiator, with authority to make decisions for the school system. As noted earlier, the chief negotiator may be one of several persons. He or she is usually a professional negotiator who works under the direction of the superintendent of schools.
- Focusing negotiations on problem-solving, deemphasizing legalism.
- Ensuring that procedural matters will not stifle the conduct of negotiations.
- Getting agreement on procedures in advance.
- Exchanging proposals of both parties prior to negotiating.
- Deciding the order in which items to be negotiated will be placed on the agenda. There is an advantage to getting agreement on issues on which there seems likely to be an accord.
- Securing a thorough consideration of the facts relating to each agenda item proposed by either party.
- Following an agenda designed to facilitate a systematic approach to problem-solving.
- Timing the tactics so they will have maximum effect. When to listen, speak, object, stand firm, concede, compromise, counterpropose, refute, or postpone action are tactical techniques whose application depends upon the situation at the bargaining table.
- Resolving and formalizing agreement on less controversial issues, then proceeding to the more complex matters.

Much has been written about the tactics of negotiations, but there is no pattern of tactical activity applicable to every negotiating situation.

Let this be clear: when two parties come to a bargaining table, the *facts* of the situation are paramount. This is to say that neither side can choose freely the issues to be negotiated or the tactics to be employed in settling them. Different objectives require different tactics. Some collective bargaining problems are long-standing, and arise again and again. The facts or conditions pertaining to current problems and issues will determine the kinds of negotiations that take place, and their final outcome.

Impasse Resolution and Strikes

The collective negotiations process, as illustrated initially in Figure 13.1, involves two parties who make and live with an agreement in the form of a written contract. In negotiating the terms of a *future contract*, and in living with an *existing contract*, disagreements and disputes are inevitable. Disagreements arise over *matters of interest*, which is to say, matters of concern to both sides in negotiating a *new agreement* or *matters of right*, which relates to interpretation of provisions in the *existing contract*. There are occasions when proceedings reach an impasse or deadlock and neither side will move from its stated position. At this point in the collective negotiations process various methods of resolving disagreements may be employed. The text following focuses upon methods of dispute resolution.

TRILATERALISM

When two parties are unable to resolve a dispute, either over matters of interest or matters of right, public employment policy, either in the form of federal or state legislation, provides for a third party to enter the controversy. The third party may be either a mediator or an arbitrator (often a government official), who helps the disputants to reach an agreement. The activities of a mediator center on efforts to stimulate, persuade, and influence the parties to reach an agreement; the mediator or conciliator has no authority to decide the issues involved. Moreover, the mediator's activities are centered upon negotiations involving a new contract. In effect, most mediation is *new-contract mediation*, not *grievance mediation under an existing contract*.

Arbitration, it should be noted, is primarily concerned with matters of right, that is, in interpreting provisions in the existing contract. When the two parties involved cannot agree on how to resolve an issue stemming from the existing agreement, the procedure most commonly employed is referred to as *arbitration*, of which there are two types—volun-

tary and compulsory. Arbitration, generally speaking, is a process that involves the use of an impartial third party who collects pertinent facts from the disputants and proceeds to make a decision which is usually binding. Compulsory arbitration usually involves both compulsory submission of the dispute to arbitration and compulsory acceptance of the decision. Thus, arbitration is the terminal step in the contract's grievance procedure. Under voluntary arbitration, either side may initiate action to take the unresolved grievance to arbitration. Under compulsory arbitration, especially in disputes in the public sector, the dispute resolution is transferred to a government-appointed agency. Legislative provisions often establish a *fact-finding* procedure, which is the designation of neutral third parties to assemble facts and make recommendations based upon these facts. This procedure may help the parties involved reach an agreement voluntarily, which they might not do were not such facts and recommendations set forth.

Figure 13.5 has been included to enable the reader to visualize the legal controls involved when an impasse occurs between the board and teachers union in public education. The illustration is designed to emphasize the following points:

- An orderly procedure has been established by state law, setting a deadline for commencing negotiations, with an impasse procedure included in the legal provisions.
- Impasse resolution procedures allow for the parties of interest to come to agreement with voluntary mediation. In cases where this is not successful, or if specified deadlines are not met, state-level procedures are invoked.
- Impasse procedures include mediation, fact-finding, and compulsory arbitration.
- A grievance procedure is mandated as a part of any agreement, with a definition of grievance limited to the interpretation or application of the agreement.

Examination of Figure 13.5 indicates that strikes in the public sector are lawful only when the fact-finding process is completed. Strikes, it would appear, are becoming an integral part of the collective negotiations process in the public sector. Although strikes are extremely unpopular in the public domain (and they are not the typical results of negotiation), they must be anticipated because they involve both preparation and cooperation by both parties. The problems involved in preparing for a teacher strike, according to Miller, include what to do about the following: food service, transportation, law enforcement, substitute teachers, vendors, attendance-taking procedures, instructional plans, public relations, record-keeping, keeping school open, picket lines, adherence to state legislation (if any), governing strikes by public

TIME PERIOD INTERVALS FOR THE IMPASSE PROCEDURE

A schematic diagram of the time period intervals in Article VIII, Collective Bargaining Impasse, of the Pennsylvania Public Employee Relations Act (ACT 195). Section 801 requires notification to the Pennsylvania Bureau of Mediation after 21 days if agreement has not been reached. See Negotiation Guideline 28-71 B, "Collective Bargaining Impasse," for a more complete analysis of the impasse procedure.

The term "Board" when used herein means the Pennsylvania Labor Relations Board.

Both parties must notify the Board within 10 days after findings and recommendations have been sent if they have or have not accepted the recommendations. If they have not, the panel shall publicize its findings of fact and recommendations.

The Board may in its discretion appoint a fact finding panel of 1 or 3 members. Panel's findings and recommendations must be sent to the Board within 40 days of mediators notifying the Board.

Not less than 5 days nor more than 10 days after panel's publication, parties must again notify the Board whether or not there is an acceptance

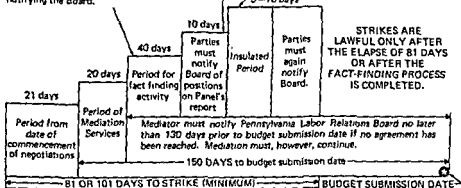


Figure 13.5. Outline of the impasse procedure in the Pennsylvania Public Employees Relation Act. Source: Pennsylvania School Boards Association, Act 195 (Harrisburg: The Association, 1973), 114.

employees, staff meetings, board meetings, and documentation of events.¹² Preparation of a strike manual by a committee assigned to the task of deciding in advance what arrangements are needed by the school system is a highly desirable practice. The strike manual automatically becomes the controlling document if a strike occurs, and may contain two categories of information: (1) what the system procedures and responsibilities will be if operations continue during a strike; and (2) the procedures to be employed if the system ceases operation for the duration of a strike. The manual may also include instructions to system administrators about their conduct, as well as the conduct of operations when the strike is over in order to "bind the wounds."

¹² Irving Miller, "An Administrator's Primer for a Teacher Strike," *Phi Delta Kappan*, 55:10 (June 1974), 698-699.

Negotiating the Agreement

The agreement arrived at by the school system and the personnel negotiating unit stipulates in writing the nature of the relationship that will exist between the two parties for a specified period of time. The composition of the agreement generally consists of four functional categories, each one of which has a specific purpose: (1) security or rights of both parties, (2) compensation and working conditions, (3) individual security, and (4) administration of the agreement.¹¹ Each of these divisions of the agreement will now be discussed briefly.

Security of Both Parties. One of the first steps in collective negotiations is to settle the extent of recognition to be accorded the negotiating units representing teachers or other personnel in the school system. Security clauses in agreements covering personnel groups negotiating with the school system may include such matters as the description of the bargaining unit, duration of the agreement, degree of recognition of the union or association, avoidance of discrimination based on union membership, permissible union activity on school premises, and access to school executives by union officials.

Prerogatives of the school system in the agreement are intended to affirm the rights the system must have in order to discharge the administrative functions with which it is entrusted.

Collective negotiation is a two-way street, and the school system must have flexibility in order to administer the enterprise properly. When it bargains its rights away, the system renders itself incapable of carrying out its responsibilities. Protective clauses in agreements reserve to the school system discretion in such personnel matters as size of staff, position content, teaching or work schedules, promotion, transfer, discipline, dismissal, staffing assignments, appraisal, and leaves of absence. In addition, the system may demand in the agreement protection of personnel from union intimidation, exercise of good faith in the use of privileges granted, restraint in publishing false or misleading information about the system, and a "zipper" clause, ensuring that negotiations will not be reopened for a specified period of time. In short, the school system must clarify in the contract its own rights and privileges.

Compensation and Working Conditions. The core of any agreement negotiated collectively between two parties is the individual personnel

¹¹ These categories are adapted from Edwin F. Beale and Edward D. Wickersham, *The Practice of Collective Bargaining* (Homewood, Ill.: Richard D. Irwin, Inc., 1959), Chap. 12.

contract. The school system, under the terms of the agreement, agrees to provide certain remunerations and to establish working conditions for employees in exchange for specified services. Within recent years, considerable debate has taken place with respect to what is negotiable between the two parties. High among the list of items frequently considered at negotiating sessions are salaries, wages, collateral benefits, class size, consultation in setting school calendars, lunch and rest periods, adequacy of physical facilities for teachers, transfers, teacher planning time, protection of teachers from physical assault, nonteaching functions, control of student behavior, school closings at noon before holidays and vacations, academic freedom, and recruitment of unqualified personnel.

Pressures from personnel groups to increase the scope of negotiations must be anticipated as standard procedure. There is nothing wrong with conducting negotiations that include a wide range of matters of interest to personnel. Two criteria against which the negotiability of any item should be tested are (1) its relationship to the strategic aims of the school system for its human resources, and (2) its impact on the prerogatives the school system must retain in order to administer the institution effectively.

Individual Security. Clauses in the agreement covering the security of the individual member of the school staff are designed generally to protect him against arbitrary treatment from the school system, the union or association, other personnel or personnel groups, and community groups. This type of security is of as much concern to the school system as to the individual or to the personnel negotiating group.

Protection against arbitrary acts of the school system are dealt with through an appeals system or grievance machinery. As a matter of sound personnel policy, and with or without collective negotiations, the school system should establish grievance procedures to protect the individual against arbitrary treatment by the school system in such areas as salaries, wages, transfer, promotion, and dismissal.

Protection of the individual against arbitrary acts of the union or association is dealt with by the inclusion of clauses in the agreement covering these matters. The right of an individual, for example, to belong or not to belong to the union and to be free from intimidation by the union is generally guaranteed by the system in its prerogative clauses.

Protection from pressure groups within the community needs to be guaranteed by both parties. Within recent years, during attempts to decentralize large-city school systems, some individual members of these systems have been threatened by arbitrary demands for their removal without recourse to an appeals system. As the struggle for control of education in local school attendance units goes on, the need for both the union and the system to join hands to protect the security of individuals in the system should be self-evident.

In the final analysis, problems that impinge on the security of personnel in a modern school system are so complex that the security of the individual is not possible without the cooperation of both parties. A school system consists of individuals who are bound together, willingly or not. Accordingly, on issues such as individual security, there is much to be lost by failure to agree. It is worth noting, however, that there are some things that agreement between the parties cannot achieve in and of itself. The right of an individual to progress within the system according to his initiative and ability cannot be guaranteed by the union. Moreover, the right to effective supervision, leadership, and the exercise of individual initiative can be fostered most effectively by the school system. It goes without saying that when the system is stripped of its rights to administer the functions for which it is held responsible, the rights of the individual are certain to be lost in the process.

Administration. Day-to-day administration of the agreement negotiated by the two parties is based upon the application of grievance machinery. Grievance machinery is intended to settle violations of the agreement promptly, to deal with disputes relating to the interpretation of specific clauses in the agreement, or to handle problems arising in areas not covered by the agreement. Grievance procedures, including steps to be taken, time limitations, and provisions for arbitration, are discussed briefly in subsequent sections of this chapter.

Administering the Agreement

After the agreement has been ratified by both parties, each has a responsibility to make the contract work. Although the rights and obligations of both the system and the union are specified in agreement clauses, disputes are certain to arise over the meaning of the language in the agreement, as well as over the methods employed to implement the contract. Because numerous disputes arise from the interpretation of contractual language, care should be taken to use language that will minimize misinterpretation, and the agreement should be proofread before it is signed.

It is conceivable that problems will arise from practically every provision in the agreement. When they do occur, the contractual means designed for their resolution is the *grievance procedure*. A grievance, according to the National Education Association, is "a claim based upon an event or condition which affects the conditions or circumstances under which a teacher works, allegedly caused by misinterpretation or inequi-

table application of established policy of the terms of a contract."¹⁴ In brief, a formal grievance is an allegation that a provision, or provisions, of the agreement has been violated.

Characteristics of a formal grievance procedure, as illustrated in Figure 13.6, include: a series of steps through which a grievance may be appealed to several levels of the administrative structure for settlement; stated time limits for the presentation of grievances, rendering of decisions, and taking of appeals; and provision for arbitration as the final step in settling an unresolved grievance. Actually, the possibilities for settlement of a grievance are the same as those available for settling an impasse in negotiations. These include arbitration (calling in a third party who is given the authority to issue a binding decision), mediation (using a third party to help both parties reach an agreement voluntarily), and strike (work stoppage or cessation of service).

The grievance procedure has been referred to as the heart of the agreement. This is because the practical test of an agreement lies in its day-to-day application. Either side may attempt to adjudicate through grievance machinery differences of opinion arising out of meaning, interpretation, and application of various provisions of the agreement.

The effectiveness of the grievance procedure, as for any other step in the collective negotiations process, depends upon those responsible for its administration. During the administration of a collective bargaining agreement, the personnel director or his counterpart is able to perform various functions that are essential to making the agreement a positive force for advancing the interests of both parties in the contractual relationship. These include

- Reports to the superintendent of schools on the progress and problems encountered in administering the contract.
- Interpreting the agreement to the administrative staff.
- Providing ways of instructing line administrators to follow grievance procedures built into the agreement. Administrators at the operating level, for example, will need counseling in problems relating to work assignment, discipline, and appraisal of performance.
- Recording experiences concerning the administration of the agreement.
- Meeting frequently throughout the contract period with union or association representatives. The purpose is to inform each other of problems encountered; to examine ways of improving the administra-

¹⁴ National Education Association, *Commission on Professional Rights and Responsibilities, The Local Education Association and Grievance Adjustment* (Washington, D.C.: The Association, 1966), 1.

*For Use in District of Columbia Related to Interpretation of
Terms of Agreement*

Steps	Administration or Board Representation	Grievant or Employee Organization Representation	Time Limits	
I.	Principal or other first level supervisor	Grievant, with or with- out building repre- sentative of employee organization	Appropriate time lim- its on both parties for answer to grievance and appeal decision	
II.	Asst. Superintendent Personnel Director (with Principal or others as desired)	Grievant and a repre- sentative of employee organization		<i>Step II</i> If the action in Step I above fails to resolve the grievance to the satisfaction of the affected parties, the grievance shall be referred to the assistant superintendent or personnel director (or other designated person).
III.	Superintendent (with Principal or others as desired)	Grievant and repre- sentative of employee organization		<i>Step III</i> If the action in Step II above fails to resolve the grievance to the satisfaction of the affected parties, the grievance shall be referred to the superintendent.
IV.	Final decision by the Board of Education except when the parties to such an agreement are required by Section 903 of Act 195 to go to binding arbitra- tion for resolution of such a grievance.		Recommendation or decision within _____ (appropriate specific number of) days	<i>Step IV</i> If the action in Step III above fails to resolve the grievance to the satisfaction of the affected parties, the grievance shall be referred to the Board of Education.
V.	Final decision by arbitrator on those issues subject to arbitration as defined in Section 903 of the Act. Both parties bound to decision except where en- abling legislative action is required, in which it is binding only if such legislation is enacted as pro- vided in Section 901 of the Act.			<i>Step V</i> If the action in Step IV above fails to resolve the grievance to the satisfaction of the affected parties, the grievance shall be referred to binding arbitration as provided in Section 903 of the Act. If the grievance fails to meet the criteria of Section 903 of the Act, the decision of the Board of Education in Step IV shall be final.

Figure 13.6. Illustration of grievance procedure, Source: Pennsylvania School Boards Association, *op. cit.*, 57 ff.

tion of the contract; to discuss revision of those provisions that are ineffectual because of semantic weaknesses; or to discuss failure to cope with unexpected contingencies.

It has been said that there is more to a marriage than a wedding. So it is with collective negotiations. When the high drama of negotiating an agreement has passed, the problem of two parties learning to live together begins. What both parties do in the process of administering the agreement, and how they do it, become important to the maintenance of sound relationships between the system and its personnel groups.¹³

In another section of this text it was observed that appraisal is one of the functions of the administrative process designed to see how well performance conforms to plan. It is concerned with the effects of all plans and procedures in relation to their contribution to system purposes. Appraisal of the collective negotiations process is an absolute necessity. The school system wants to know the following, for example:

- Strengths and weaknesses of the existing agreement.
- Sources of disputes in administering the agreement.
- The effectiveness of the negotiating team and its individual members.
- The impact of the agreement on the motivation of personnel.
- The desirability of modifying the negotiations strategy and tactics of the system.
- Steps that should be taken to improve the negotiations process.

Coordination of appraisal activities relating to the negotiations process, like other matters pertaining to the conduct of the personnel function, is a responsibility of the personnel director. In his lap is placed the task of recording the collective negotiations experience and gathering facts and observations vital to the preparatory stages of the next agreement to be negotiated.

It must be clear by now that the collective negotiations process is a tool by which the school system and its people solve problems growing out of their relationship. Its future in public education is something only time can tell. Its strength lies in providing an opportunity for improving organizational democracy in local school systems, and in providing a fundamental human relations tool for the betterment of education.

¹³ Additional references on contract administration include the following: George W. Angell, "Grievance Procedures Under Collective Bargaining: Boom or Burden," *Phi Delta Kappan*, 54:8 (April 1973), 501-505; Myron Lieberman, "Administering Your Contract with Teachers," *School Management*, 13:10 (October 1969), 8-16; Richard Gorton, "Collective Negotiations and Administration of the Master Contract," *Bulletin of the Department of Secondary School Principals, National Education Association* 55:353 (March 1971), 123-129.

Summary

In this chapter we have examined one facet of collective negotiations: the process by which they are conducted. This process, it has been noted, consists of various stages, including preparation, selection of the negotiating team, negotiations strategy and tactics, agreement negotiations, and agreement administration.

Many factors affect the conduct as well as the outcome of the collective negotiations process. It is hoped that the product will be an agreement satisfactory to both parties and conducive to a better school system.

The personnel unit should be given the responsibility for systematizing the collective negotiations process and its subprocesses. Administration of this aspect of personnel administration is concerned not only with protecting the interests of the organization so that established goals can be met, but with taking advantage of opportunities in the collective negotiations process to satisfy the needs of individual staff members and to create a framework within which the system and personnel representatives can solve their problems through mature and responsible behavior.

PART V

Personnel Security, Continuity, and Information Processes

Security of Personnel.

It was noted previously that this text is divided into five parts: (1) perspectives on the personnel function; (2) organizing and planning the personnel function; (3) manpower, recruitment, selection and induction processes; (4) appraisal, development, compensation, and collective negotiations processes; and (5) personnel security, continuity, and information processes. This chapter and the two that follow comprise Part V. The central theme underlying Part V is that personnel administration is a continuous function, one that is carried on day in and day out, year in and year out, to enhance the system's capability to perform its role effectively. More specifically, personnel administration does not suspend its activities when vacancies have been filled. It must concern itself also with the destiny, mobility, productivity, and need satisfaction of people. As illustrated in Figure 14.1, various personnel processes are necessary to maintain staff continuity. It is a fact of organizational life that there is a continuous flow of human resources into, within, and out of the school system. Various processes, as illustrated in Figure 14.1, are commonly employed to enhance and control personnel mobility. The emphasis in this chapter is on personnel security—those activities which protect the position-holder from various threats, both internal and external, and which affect his position security, status, and freedom of expression. Chapter 15, which follows, focuses on the process through which the continuity of personnel service is maintained and improved.

The concept of personnel security, as discussed herein, may be introduced by the observation that in the course of making a living, man is exposed to many kinds of insecurities. The threat of losing one's position, status, power, and relative freedom of action or speech has existed down through the ages in all types of organizations. In order to counteract menaces to his work security, man has invented and struggled ceaselessly to put into operation a variety of protective arrangements. The scope of modern provisions for lessening the work-related anxieties of individuals employed in the field of education can be illustrated by examining protections accorded the classroom teacher. These include continuing employment (tenure); postemployment financial security (retirement benefits); protection from arbitrary treatment (grievance procedures); position and

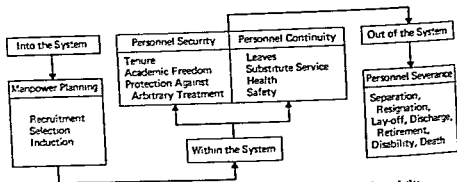


Figure 14.1. Relationship of personnel processes to personnel mobility.

financial security in the event of illness or temporary disability (collateral benefits); and the support of unions or teachers associations to maintain and to extend ways of continuing individual security within the school system. Indeed, the craving for security by individuals in the second half of the twentieth century has become so intense that for many its attainment appears to be an end rather than a means to estimable purposes. Although absolute security against economic hazards and organizational tyrants is impossible, the school system is obligated to make arrangements to protect its personnel from threats that affect both their productivity and their self-realization.

In the text that follows we shall focus upon two types of security that school systems can provide for their personnel. The first is the type usually provided by governmental or system action, such as tenure, grievance procedures, and academic freedom. The second type, one which cannot be achieved by legislation, is individual adaptation. We refer here to the sense of security achieved by the individual when he is able to perform his role effectively within the system. The self-confidence the individual acquires in performing his work derives from a number of conditions that are the concern of management—the kind of supervision he receives, the opportunities he has for participating in decisions affecting his work, opportunities for development, fair treatment, and position satisfaction. Thus, security on the job is contingent upon a variety of actions taken by executives to enable those under their jurisdiction to do their work more effectively.

The Personnel Security Process

As illustrated in Figure 14.2, the process of providing personnel security in a school system is similar to other personnel processes. Goals for each

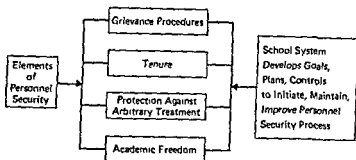


Figure 14.2. Model of the personnel security process.

of the several subprocesses of personnel security must be developed; policies, programs, budgets, and process relationships must be established to guide the operation; responsibilities must be allocated for developing and implementing specific plans; and the results of plans must be appraised in terms of expectations. The cycle is a familiar one. We need not dwell upon it at length here, except to note that organizational opportunities for satisfying self-interest and psychological needs through the security process are extensive. The tenure plan makes it possible to minimize the number of incompetents who enter the system, and at the same time guarantees continuity of employment to those who meet performance standards. Academic freedom enables the classroom teacher to perform his work with relative freedom of action and speech. Grievance procedures help assure that uniform standards of justice will be adhered to in resolving disputes.

In the rest of this chapter we shall explore ways of dealing with problems affecting the security of school personnel. As a basis for our analysis we need to look closely at governmental provisions for the security of school personnel and at security plans the system can shape to complement and enhance those provisions that are required by statute, and to extend those that have been adopted voluntarily.

Grievance Machinery and Personnel Security

Although grievance arbitration has been discussed in Chapter 13 in connection with contract administration, the subject is treated in this chapter as it relates to the general provisions all systems need to establish to enhance personnel security, regardless of the stipulations in the negotiated contract for grievance arbitration.

The dictionary defines a grievance as a just or supposed ground of com-

plaint. Every school system probably has its share of each. Whether a grievance is real or imagined, automatic means for redressing dissatisfactions are not yet available in every school organization. Unless there are established procedures for recognizing and initiating action to deal with grievances, suppressed complaints may lead to poor morale and antiorganization behavior.

The causes of grievances are many, and they range from misunderstandings to neglect of human problems. The pattern of grievances in educational institutions differs somewhat from patterns in the private sector. School personnel generally have greater job security than nonpublic employees. The nature of employment is different, as are the compensation structure, the job classification system, the objectives of the enterprise, and the employer-employee relationship. Hence, the grievance problems are different, but they do exist. Procedures for handling grievances in school systems vary widely. During the first half of the twentieth century, very few school systems had established formal grievance machinery of any kind for the examination and solution of personnel complaints. Most difficulties were handled by an "open-door policy" of the chief administrator. Unionization of public school employees, especially in the latter years of the 1960's, has done much to stimulate the incorporation of formal grievance procedures as an integral part of the collective negotiations process.

Purposes of Grievance System

Although boards of education often accept grievance procedures with reluctance, the usefulness of formal grievance machinery in school systems, whether unionized or not, is hardly debatable. Such machinery serves various purposes, but probably its most vital role is as a channel of communication for system personnel. The security of every employee is enhanced when he knows that there is a system of justice through which he can appeal his discontent or dissatisfaction, should the need arise. Moreover, the employee is assured that there will be no retaliation against him for taking an appeal through successive steps in the grievance process if this should be necessary. Several authorities insist that the psychological effect resulting from mere availability of grievance machinery to organizational personnel is more important than the degree to which it is utilized. But when sincere administrative efforts are made to deal with personnel problems, the number of cases that run the line of appeal is likely to be reduced. This improvement entails a willingness of administration to encourage personnel to identify sources of dissatisfaction and to enlist their judgment in remedying unsatisfactory conditions. Staff involvement

in development of appropriate procedures appears to be indispensable for dealing positively with grievances.

An equally important purpose of grievance machinery is to enable the system to identify potential sources of conflict between the individual and the organization. By examining the nature and incidence of grievances, an alert administration can focus attention on correcting conditions that portend conflict. If the grievance procedure brings to light problems, needs, and expectations of personnel that are not being met satisfactorily, the planning process can be employed to make the necessary adjustments. The grievance system also serves as a check on arbitrary administrative action. The individual administrator is less likely to misuse his authority when he realizes his behavior is subject to careful scrutiny at every level to which an appeal is carried.

The grievance procedure, as noted in Chapter 13, is an important facet of the collective negotiations process. It serves several purposes, such as providing a means whereby both parties can secure a measure of justice in the administration of the agreement, clarifying the terms of the contract, and identifying elements in the contract that need revision or clarification at contract renewal time.

THE GRIEVANCE PROCEDURE

The anatomy of most grievance machinery is fairly simple and consists of a prescribed series of steps, or line of appeals, beginning with presentation of the problem to the immediate supervisor. If the employee finds no redress at one level, he may take the case to consecutively higher officials in order of authority, for example: to the principal; superintendent; board of education; state education agency. There is usually a committee that acts in an advisory capacity and as liaison between the aggrieved and the administration representative.

The number of grievance cases is lessened when administrators at the operating level closest to the employee are able to identify the sources of discontent. Sensing an incipient problem and dealing with it promptly, tactfully, and informally often forestalls the need for complicated grievance procedures.

Foremost among the conditions necessary for dealing with staff discontent, complaints, misunderstandings, or dissatisfactions are the following.

- A policy declaration by the board of education that clearly indicates its intent toward the expression and consideration of grievances.
- Administrative procedures for implementing grievance policy. This includes preparation of a personnel guide or handbook indicating what constitutes a grievance, how the grievance is presented, to

whom it is presented initially, steps in the line of appeal with the routine to be followed in each step, and the time limits within which each phase of the grievance process should be completed.

- Constant assessment of conditions of employment so as to locate and deal with problems.

In summary, systematization of grievance handling can help the school system to minimize discontent and dissatisfaction, and thus to enhance personnel cooperation. Careful attention to individual grievances improves the chances that conflict will be dealt with in a positive manner and result in individual adjustment. Success in this effort will contribute greatly to the ability of the individual school unit and the system to carry out plans.

Tenure of Professional Personnel

Tenure, in the broadest sense, embodies a system designed to provide educators with continuing employment during efficient service, and establishes an orderly procedure to be followed before their services are terminated. Salient features of the tenure system include

- Completion of a specified probationary period, construed to mean a temporary appointment during which time the individual is carefully supervised and appraised in terms of his ability to render efficient service to the school organization.
- Automatic tenure status at the end of the probationary period to personnel who meet performance standards.
- An orderly procedure for the dismissal of personnel. This includes provision for notifying the individual that his services are unsatisfactory, as well as reasonable opportunity to show improvement before notification of intent to dismiss is given.
- Notice of the intent to terminate the services of the individual in the event that the desired improvement in performance has not been attained. Written notice of the intent to dismiss details the specific reasons for the contemplated action.
- A hearing before local school authorities which provides opportunity for the affected staff member to defend himself against the charges.
- The right to appeal an adverse decision to higher educational authorities and to the courts.

The meaning and operation of tenure laws are not always understood by some persons within the professional ranks, or by many laymen. Per-

haps this misunderstanding has given rise to the relatively high incidence of tenure litigation, as well as to the refusal of certain states to enact iron-clad statewide tenure legislation.

Let us consider, first, the legal nature of tenure. In general, tenure is construed to be a privilege granted by the state rather than an obligation the state owes to the educator. The latter has no inherent right to permanent employment merely because he has complied with state certification requirements or because he has served a probationary period during which he rendered service satisfactory in the eyes of his employer. It is generally held by the courts that a tenure statute is not in the nature of a contract between the state and the teachers affected by it; that an act of the legislature is only an expression of current legislative policy; and that the acts of one legislature do not necessarily bind future legislatures unless the intent to do so is clear.¹

The phrase *permanent employment* is frequently the cause of many misinterpretations of tenure legislation. Customary practice is to grant permanent tenure after an individual has served a probationary period. Permanent tenure, however, does not necessarily mean that the local board of education has no authority to make changes affecting persons who have gained tenure status. It does not mean, for example, that the board, so long as its actions are not arbitrary and capricious, cannot transfer a teacher from one school to another. Tenure of employment and tenure of assignment are not necessarily synonymous. Nor does it mean that tenured teachers cannot be reassigned to different tenure positions. If the board decides to reduce the size of the staff because of declining enrollments, the mere existence of tenure legislation does not prevent the board from taking such action. In brief, it is generally not the intent of tenure laws to prevent boards of education from making necessary changes involving tenured personnel. Permanent employment does not mean an absolute absence of change in the conditions of employment. If this were so, administrators would be powerless to cope with the day-to-day personnel problems with which they are confronted.

Among the objectives most frequently cited for establishing tenure for professional educators are the following:

- Security of employment during satisfactory service.
- Protection of personnel against unwarranted dismissal.
- Academic freedom in the classroom.
- Permanent employment for best qualified personnel.
- Staff stability and position satisfaction.

¹ For a detailed discussion of the legal aspects of teacher tenure, see LeRoy J. Peterson, Richard A. Rossmiller, and Marlin M. Volz, *The Law and Public School Operation* (New York: Harper & Row, Publishers, Inc., 1969), Chap. 18.

- Freedom outside of the classroom commensurate with that of any other citizen.
- Liberty to encourage student freedom of inquiry and expression.

State activity in tenure legislation is generally defended on the basis of social benefit. The state seeks to improve the school system through the instrumentality of tenure, which is designed in part to protect the people and their children from incompetent teaching. The state's purpose in protecting the teacher against arbitrary acts inspired by political, personal, or capricious motives is to grant him the freedom required to render effective professional service. Tenure legislation is not intended by the state to establish an occupational haven for the unqualified.

Thus, tenure is designed to protect not only the interests of professional personnel, but the state, the local school system, and its clients. Few matters in personnel administration are more in need of attention than seeing to it that tenure laws serve the social interest. Every school system that has the authority to grant tenure can contribute by engaging in more effective deliberation before granting tenure. Tenure laws of most states can also be materially improved. In some instances, for example, the law provides only token protection.

Opportunities at the local level to improve tenure by other than legislative means are considerable, and to this end the efforts of personnel administration can be properly directed. Selective elimination of probationary personnel, clarification of policies on transfer, reassignment and promotion, definition of seniority rank in the event of staff reduction, development of procedures to cope with reduction in status or compensation, determination of means by which probationary teachers are dismissed, clarification of board policies on tenure, and other measures will help to provide the desired staff competence and the security requisite to effective performance.

THE TENURE PROCESS

The treatment of tenure legislation in the preceding sections is brief and selective. It is intended to show the interrelationship between tenure problems and personnel administration. We shall now examine the tenure process more fully so as to illustrate its role in contributing to the goals of personnel administration. Although it is clearly not in the interest of the taxpayers, the children and youth, and the school system to allow marginal performers to gain continuing employment status, it is in the interests of society to prevent the loss or dismissal of competent personnel. The tenure process must be considered as one means by which both ends can be served. Various aspects of the process, including the probationary

period, the tenure privilege, termination of service, and the right of appeal follow. The suggestions offered are intended to be illustrative rather than prescriptive.

THE PROBATIONARY PERIOD

Permanent appointments to the school staff represent long-term commitments in administrative judgment, public trust, and budget appropriations. In view of these commitments, the probationary period is considered here because of its strategic importance in determining tenure.

The personnel administration can realize at least four purposes during the probationary period. The first has to do with assessment of the individual—his competency and potential, his compatibility as a member of the working team, and his ability to serve the future staff needs of the organization. Another purpose is the contribution the organization can make to the development of the individual through careful supervision and appraisal. A third purpose is validation of the original selection and placement. The probationary period provides an opportunity over an extended period of time to determine the degree to which the original choice and placement have conformed to expectations. Finally, and most important, the probationary period provides an opportunity for selective elimination, permitting the organization to employ on a permanent basis only those who have attained the excellence required for such appointments.

Several major questions relating to the probationary period should be considered, for procedural reasons, by local boards of education.

- Are experienced teachers who are new to the district required to serve a probationary period? If so, what should be the length of the probationary period?
- Should notice of unsatisfactory work be given during the probationary period? If so, how frequently?
- Should professional growth requirements be established for probationary teachers? If so, what should be the nature and scope of the requirements?
- Should teachers be allowed to serve more than one probationary period?
- Should substitute service count toward fulfillment of the probationary period?
- What procedure should be followed when dismissal of probationary teachers is contemplated?

Answers to these and other questions pertaining to teachers who have not yet been granted tenure are set forth in the laws of some states. In

other states, the laws are completely silent. Regardless of presence or absence of specific legislation, many problems can be avoided if the local board of education takes positive steps to clarify procedures which are in effect during the probationary period. When policies and procedures are reduced to written form in order to provide greater understanding by those affected, the solution of probation problems is facilitated.

Measures that should be taken by the organization during the probationary period to assure a capable and stable teaching corps include

- Consistent attention of the administration to the orientation and in-service development of the probationer.
- Provision of funds for an extensive staff development program.
- Consistent appraisal of, and counseling with, probationary personnel by the administrative head of each attendance unit, aided by the supervisor, department head, and key teachers assigned to this role.
- Continuity in the selection process, including early dismissal of those who are decidedly inferior or barely acceptable. Administrative decisions relating to marginal probationers are among the most difficult decisions relating to tenure.

It is recognized by educators that factors that can interfere with or prevent the development of a capable staff are numerous and vexing. For example, some administrators ignore the qualitative aspects of staffing, with the consequence that the unfit are permitted to gain tenure status. Moreover, as the proportion of ineffective staff members increases, the ability of the district to recruit and to retain superior personnel tends to decrease. The waste of time, money, administrative effort, and educational opportunities incurred through the admission of unsatisfactory personnel to the profession is incalculable. Opportunities to minimize such errors of judgment are available in the recruitment, selection, and probationary processes.

THE TENURE PRIVILEGE

Acceptable practice in implementing tenure consists of assurance of continuing employment after successful fulfillment of the probationary period, termination of employment only for defensible cause, and limitations on the dismissal procedure. In return for the tenure privilege, all tenured personnel are expected to assume certain obligations; for example, adherence to the code of ethics for the teaching profession.² The

² See *NEA Handbook* (Washington, D.C.: National Education Association, 1974), 224-226.

reciprocal character of tenure assumes that the local board of education will protect the employment security of personnel during efficient service. It assumes also that personnel will fulfill obligations attending the service for which they are employed.

Some of the tenure problems that create difficulty eventuate in dismissal proceedings, but they may involve transfer and reassignment, reduction in salary, demotion, and the abolition of positions because of enrollment, curriculum, or financial exigencies. Although the right of administrators to transfer and reassign personnel is generally recognized by the courts, demotions under some tenure laws violate the tenure agreement. It can be argued cogently that administration has the obligation to accord all personnel who are to be demoted in status or salary the right to be notified, and given a written statement of reasons for the action, and a fair hearing. The principle of seniority should be adhered to in the event that reduction in teaching positions is unavoidable.

TERMINATION OF SERVICE

From time to time school districts will have cause to dismiss tenured personnel for cause. In many cases this is not so much a reflection on the individual as it is on the recruitment, selection, placement, and appraisal processes. As almost everyone knows, there are personnel whose immoral, intemperate, or insubordinate behavior leaves the administration no choice but dismissal; there are legal channels for accomplishing this purpose. But the individual whose regressive inefficiency becomes the cause for dismissal proceedings is another problem, especially if the incidence of such cases is excessive. Although the reasons why competent persons gradually become incompetent have not been clearly isolated, there are grounds for assuming that some of the responsibility is the institution's. Some staff members stagnate because of lack of opportunity; some become inefficient because of excessive teaching loads; some fail because of lack of proper supervision; some become embittered as a result of a lack of adequate grievance procedures; and some do not succeed in spite of their willingness. The point of concern here is that the organization must not fail in its effort to provide the optimum climate and conditions of employment conducive to success. Until the organization does its utmost to match the man and the position, and to create conditions requisite to success, dismissal is unjust. Termination of service should be regarded as a last resort, to be used only when all other remedies have failed.

Notice of the decision to separate a tenured teacher from the school system should follow accepted legal procedure and, in addition, should provide ample time for the teacher affected to search for another posi-

tion. Causes and procedures for dismissing a tenured teacher are generally set forth in the statutes, although there is considerable variation in the statutory language and in the interpretations possible under the various state tenure laws. In most tenure laws, notice of the intent to dismiss must be given within a specified time limit prior to the dismissal. Similarly, it is usually held that if the teacher intends to withdraw from service, school authorities shall be given notice in ample time to secure a replacement. State laws typically require from thirty to sixty days notice.

A fair hearing, preceded by written notice of intent to dismiss, including a statement of the charges against the accused, are among the essentials of an acceptable tenure law. Those in charge of the hearing should provide opportunity for the accused teacher to be heard in his own defense, should permit the accused to have counsel and to present witnesses, and should prepare a stenographic record of the hearing to be available in case of appeal.

In the event that the results of the hearing are not in favor of the accused, and the dismissal action stands, the statutes generally provide opportunity for appeals through administrative recourse to the state superintendent, or state board of education, as well as ultimate legal recourse through the courts.

SYMPTOMS OF TENURE MALFUNCTION

As the trend toward collective organization of personnel gathers impetus, so do the demands for elimination of state tenure laws. The experience under a teacher tenure law in Pennsylvania makes it possible to understand the growing concern about and the demand for reform of teacher-tenure legislation. The main points made in a study of the Pennsylvania law are

- Under this law, during the period from 1940 to 1970—30 years—only 65 teachers have been dismissed for all the reasons permissible.
- During this same 30-year period, *only 193 tenure cases have been processed*, which led to the 65 dismissals.
- In this same period, *only 38 demotions* have been accomplished under the law.
- Averaging these actions over the 30-year period, out of a total tenured population of about 100,000 persons, *slightly more than 2 teachers per year* have been dismissed statewide, and *only 1 teacher per year, statewide, has been reduced in salary or position*. Normal personnel standards suggest that the minimum numbers involved in

THIS	OR	THIS
Present Realities		Creative Alternative
✓ Inflexible tenure laws		✓ Written personnel policies
✓ "Client" discontent		✓ Position descriptions
✓ Professional disillusionment		✓ Performance expectancy
✓ Inept administration		✓ Renewable contracts
✓ Incompatibility with contemporary educational concepts		✓ Impeccable due process
		✓ Negotiated agreements

Figure 14.3. Alternatives to contemporary tenure laws. Source: American Association of School Administrators, *Teacher Tenure Ain't the Problem* (Arlington, Va.: The Association, 1972), 27.

dismissal, demotion, or transfer to other types of work for ineffective work performance should be considerably larger.³

Numerous criticisms have been made of tenure laws. These include the harmful effect of the incompetent tenured teacher on the growth and development of pupils; the negative impact of the incompetent tenured teacher on total staff effectiveness; and the impediments to system mission achievement created by tenure malfunction. The assault on tenure has been linked to the accountability movement, based upon the hypothesis that tenure and accountability are incompatible. Eaton, in supporting the tenure concept, notes that the following misconceptions are often associated with the demand for tenure abolition: teacher tenure as the fool's fortress, as irrevocable retention, as leading to careless complacency, as having no contemporary relevance, and as having no counterpart in other professions.⁴

The protections many teachers are now enjoying—contractual protection as well as legislative protection—appear to be in for increasing attack and probable modification in the near future. The American Association of School Administrators, noting popular as well as professional disillusionment with the consequences of teacher tenure, has advocated alternatives (shown in Figure 14.3) as measures to deal with tenure-related problems. Revocation of tenure laws, it should be noted, will not

³ Pennsylvania School Boards Association, "Tenure Must Go," *Information Legislative Service*, 10:10 (March 10, 1972), 8-9.

⁴ William E. Eaton, "The Many Myths of Teacher Tenure," *Changing Education*, 5:4 (Winter-Spring, 1974), 26-27; see also Betty E. Sinowitz, "What About Teacher Tenure?" *Today's Education*, 62:4 (April 1973), 40-42.

automatically eliminate the key problems related to teacher tenure. Retrenchment will not improve the performance appraisal process, whereas it might weaken protections against arbitrary treatment, and might permit erosion of the civil and professional rights of personnel. That tenure laws need to be modernized is evident. However, experimentation by school districts with the various tenure alternatives mentioned previously appears to be preferable to less flexible remedies.

Academic Freedom and Personnel Security

Free minds for free men is in the tradition of the liberal democratic ideal. Accordingly, freedom of thought and expression are crucial concerns of education in a democracy, and of the personnel administration which exists to facilitate its mission. If children and youth are to be free to learn, the teacher must be free to teach. By protecting one freedom the school system seeks to ensure the other. Although data are not available to indicate the extent of problems relating to academic freedom in educational institutions, there is considerable evidence that threats to the intellectual, political, and personal freedom of the teaching community do exist.

A WORKING DEFINITION

The concept of academic freedom means different things to different people. To some it means an absence of restraint on scholarship; to others it means the right to present conflicting and unpopular points of view in the classroom. Some would place certain limitations upon academic freedom; others would not. Some maintain that academic freedom is a matter that concerns only university faculties; others hold that it refers to the liberty to inquire, to discuss, and to interpret any aspect of culture at all levels of instruction. Some believe it refers solely to teacher freedom. Increasingly, it is argued that student freedom is equally involved. Krug suggests, for example, that the definition of intellectual freedom has two parts: (1) the right of any person to believe what he wants on any subject and to express his beliefs orally or graphically, publicly or privately, as he deems appropriate; and (2) total and complete freedom of access to all information and ideas regardless of the medium of communication used.⁵ A statement by the American Civil Liberties Union defines academic freedom as

⁵ Judith F. Krug, "Growing Pains: Intellectual Freedom and the Child," *English Journal*, 61:6 (September 1972), 805-818.

Academic freedom and responsibility are here defined as the liberty and obligation to study, to investigate, to present and interpret, and to discuss facts and ideas concerning all branches and fields of learning. No limitations are implied other than those required by generally accepted standards of responsible scholarship. The right within and without institutions of learning to be free from any arbitrary limitations of investigations, expression, and discussion should be inviolate.⁶

In the discussion that follows, the term *academic freedom* refers to the extent to which professional personnel are able to exercise intellectual independence and to encourage it in the classroom. As such, it is not to be considered a special kind of privilege for the educator, but a condition essential to free inquiry for the student and the teacher. It is basic to freedom of learning.

FORMS OF RESTRAINTS AND PRESSURES

It is no secret that there are many individuals and many communities who take issue with the concepts of intellectual freedom expressed in the foregoing paragraphs. Efforts to ban ideas, to limit information, to remove textbooks, and to censor libraries and school curricula are commonplace.⁷

Examination of the restraints and pressures imposed upon students, teachers, and administrators provides a wide range of illustrations. These include

- Elimination from the classroom or library of certain textbooks or resource materials that are unacceptable to a particular segment of society.
- Pressures to punish personnel for nonconforming statements concerning sex, race, nudity, pornography, and drugs, and literary works deemed offensive.
- Restrictions on the teaching of allegedly controversial issues, such as socialized medicine, communism, socialism, fascism, the right of organized labor to bargain collectively, sex education, building a new

⁶ American Civil Liberties Union, *Academic Freedom, Academic Responsibility, and Academic Due Process in Institutions of Higher Learning* (New York: American Civil Liberties Union, 1966), 6. For other definitions of academic freedom, see Lawrence Kassam, "The Serpent in the Garden," *Phi Delta Kappan*, 54:4 (December 1972), 281-285.

⁷ See, for example, Judith F. Krug, op. cit., 805-806. Also the entire issue of the *School Media Quarterly*, 1:2 (Winter 1973) is devoted to a consideration of intellectual freedom in the Rochester, Michigan school system; see also the West Virginia textbook dispute by Ken M. Young, "School Storm Centers: Charleston," *Phi Delta Kappan*, 56:4 (December 1974), 262-267; see also Mary Hepburn, "A Case of Creeping Censorship, Georgia Style," *Phi Delta Kappan*, 55:9 (May 1974).

social order, poverty, air and water pollution, integration, and discrimination.

- Restrictions on teacher participation in political activities.
- Requirement that all educators in institutions receiving state aid take a special loyalty oath.
- Restrictions on the purchase of conspicuously controversial teaching materials.
- Restrictions prohibiting educators from holding public office.
- Dismissal of teachers who take the Fifth Amendment.
- Legislation forbidding a certain subject to be taught.
- Denial of permission for student organizations to invite guest speakers who are "controversial."
- Restrictions on wearing apparel of students and teachers.
- Denial of the right of teachers to join education associations or unions.
- Elimination of experimental curricula, methods, or textbook series on the grounds that they are "progressive," "liberal," "ultraliberal," or otherwise conflict with established views.
- Restrictions on the expression of political, economic, or religious views by teachers.
- Demands for removal of programs that violate constitutionally protected rights of privacy.

The concern about these and other forms of restraint upon the academic and personal freedom of public-school personnel is that safeguards are needed in local school systems to ensure conditions conducive to effective conduct of the teaching-learning process. However, the difficulties in achieving these safeguards are formidable. There are boards of education who see no point in establishing policies on academic and personal freedom. Others have come to believe that limitations on these freedoms are both desirable and necessary. Such threats to the personal and academic freedom of personnel cannot be minimized unless protective measures are established by the board of education. The following paragraphs are devoted to an examination of the kinds of constructive action that can be taken by boards of education, administrators, communities, and teachers to ensure freedom of thought and information.

HUMAN RIGHTS AND ADMINISTRATIVE RESPONSIBILITY

Local control of certain aspects of public education has lost ground in the wake of recent legislation and judicial decisions.⁸ In a changing social

⁸ William R. Hazard, "Courts in the Saddle: School Boards Out," *Phi Delta Kappan*, 56:4 (December 1974), 259.

order, where the issue of human rights is ever in the forefront, the rights of school personnel have not gone unnoticed. Court decisions favor strict adherence to safeguarding the civil rights of teachers and other school personnel.⁹ There are indications that administrative authoritarianism and paternalism have been dealt the coup de grace by the courts and legislatures; that the movement to implement the theory and practice of human rights will move forward, especially in educational institutions, which are supposed to be one of the important guarantors of human freedom. If human rights are to be fully established in school systems, school officials, as Zimmerman notes, cannot expect students and teachers to "leave their rights at the schoolroom door."¹⁰

RESPONSIBILITIES OF THE BOARD

To an appreciable extent, the establishment and maintenance of academic and personal freedom of school personnel depend upon board of education leadership. This state of affairs is in keeping with the doctrine of organizational accountability, which is construed to mean the responsibility of authorities in an organization for the actions of personnel under their direction. If the development and maintenance of intellectual independence in the local school system are to be encouraged, the board of education must take certain steps to see that these conditions are established.

What steps can be taken by the board of education to encourage and protect the freedom essential to growth of the democratic ideal? Although the board can do many things, its first obligation is to understand clearly the purposes of education in a democratic society—for the events which take place in a classroom (the discussion, the methods and materials employed) must be appraised in terms of purpose.

Another step the board can take is to make clear the kind of conduct it expects the staff to maintain within and outside of the academic environment. Some of the problems that need to be resolved in doing so are suggested by the following questions: How does the board expect the staff to deal with controversial issues? Does the board feel responsible for institutionalizing the basic moral and intellectual commitments inherent in a democracy? Does the board perceive development of the curriculum as a professional task? If the board is committed to this principle, does it

⁹ See, for example, David Rubin, *The Rights of Teachers* (New York: American Civil Liberties Union, 1971); David Schimmel and Louis Fischer, *The Civil Rights of Teachers* (New York: Harper & Row, Publishers, Inc., 1973).

¹⁰ William G. Zimmerman, Jr., "Human Rights and Administrative Responsibility," *Phi Delta Kappan*, 56:4 (December 1974), 243, 247.

resist pressures to eliminate certain textbooks? Does it resist attempts to change those parts of the curriculum not approved by the professional staff? Does the board support the principle that a teacher outside the classroom has no less freedom than any other citizen? Does it support his freedom to express his convictions on political, economic, and religious subjects? These and other issues call for policies by the board of education that will safeguard personnel in their responsibilities as teachers and citizens.

In brief, the board and the community have an important responsibility *for establishing the climate within which academic freedom can flourish*. Although a precise formula for doing this has not yet been written, much can be accomplished if the board is alert to its responsibilities for maintaining intellectual freedom. These include a willingness to examine objectively all criticisms of the school and its staff, to avoid hasty action to satisfy pressure groups, to establish machinery for dealing with charges or attacks against school personnel, and to develop policies consonant with freedom of expression. Table 14.1 illustrates policy and procedures employed in one school system to deal with one facet of academic freedom.

RESPONSIBILITY OF THE ADMINISTRATOR

The responsibility of the administrator for maintaining academic and personal freedom of the school staff is both difficult and delicate. His task is to give support, meaning, and direction to the principles of academic and personal freedom. This means, among other things, that the administrator

- Understands and studies our civilization, its cultural heritage, values, and ideals. Without this understanding, his ability to provide democratic leadership is limited.
- Seeks diversity in the employment of personnel, for the beliefs and attitudes of the teaching staff determine the extent to which free exercise of the intellect *is achieved in the classroom*.
- Exercises the authority delegated to him as educational leader of the school system to establish educational objectives, curricula, and methods that *encourage the development of intellectual independence*.
- Resists attempts to limit or to destroy intellectual freedom.
- Ensures that there is broad representation of pupils, parents, and staff in the development and implementation of plans for academic freedom.
- Exercises leadership in the promulgation of a written document or code governing teacher rights in and outside of the classroom.

- Initiates programs to acquaint all personnel, parents, and pupils with the nature and intent of provisions for ensuring human rights.
- Interprets fully and clearly to the board, the community, and the school staff the role of academic freedom in ensuring the intellectual vitality of the school system.

Because of the long-standing tradition that regards the teacher as a nonpolitical, no-issue citizen,—as one whose task should be confined to understanding and maintaining the status quo—the role of the administrator in seeking solutions to problems relating to intellectual freedom is both difficult and challenging. Moreover, because of the rapidity with which social changes have occurred in America and in the world, an increased share of the responsibility for encouraging the development of free minds has been placed upon him. The task requires an intellectual climate that is conducive to adaptive behavior, and strong defenses against restraints and attacks on the freedom of teaching and learning.

RESPONSIBILITIES OF THE TEACHER

Two kinds of responsibility should be stressed in connection with the teacher and academic freedom. One pertains to the teacher's obligation to conduct the teaching-learning process in keeping with the principles upon which academic freedom rests. There is little point to the establishment of elaborate academic safeguards if the spirit of inquiry is not encouraged by the school staff. If controversial issues are ignored, if varying points of view are not tolerated, if the right to dissent is forbidden, if the teacher is careful not to bring up controversial topics, if he evades an opinion solicited by students, where does this leave us? In certain respects, it leaves us with students who have little understanding of scientific inquiry, or with citizens who are unable to make intelligent decisions because their education was conducted in an atmosphere where the spirit of free inquiry was not encouraged.

This leads us to the difficult question of the levels at which such educational experiences are appropriate. As Fuchs points out,

Until the learner has reached some stage of responsible maturity, not only must conduct be restrained to a larger extent than later, but the learning process must be affirmatively conditioned to secure the transmission to the newcomer of the prevailing cultural heritage. It is a delicate matter, as every parent and professional educator knows, to transmit the wisdom of the past and of the present consistently with freedom for the learner and with the attitude of devotion to basic beliefs, accompanied by tentativeness of view, that, in our culture, must somehow be communicated. Yet, clearly, at an early

age in the learner's course, the more certain knowledge and the relatively prevalent attitudes must be conveyed. Gradually criticism and questioning accompanied by methods of evaluation and of arriving at independent conclusions can be developed until the stage of complete freedom, testing all knowledge and all values without destroying them, is reached."

Thus, design of the developmental processes whereby determination of the manner in which intellectual independence is established is one of the staff's most challenging professional responsibilities and opportunities.

Finally, there is another kind of teacher responsibility related to academic freedom. This is the self-discipline inextricably related to freedom. It is the obligation to maintain those standards of personal and professional integrity that are in keeping with the noble purpose the teacher serves. The standards of teaching, learning, and scholarship to which he adheres must be conducive to the attainment of the aims of the educational system. This is, in essence, academic freedom's justification.

Summary

Arrangements to protect personnel from internal and external threats affecting their productivity and self-realization are considered to be standard operating procedure in school systems. The scope of modern provisions for lessening the work-related anxieties of individuals employed in educational institutions include tenure, retirement, grievance procedures, academic freedom, and protection from arbitrary treatment.

We focus on two types of security that school systems can provide for their personnel. The first of these involves security by governmental action; the second type involves security through individual adaptation, or security achieved when an individual is able to perform his role effectively within the system.

The process for developing and maintaining personnel security includes goal formulation; establishment of policies, programs, budgets, and process relationships to guide the operation; allocation of responsibilities; and appraisal of results. Ideally, the process should be designed so that advantage can be taken of the many opportunities for satisfying the self-interest and psychological needs of personnel. It embraces the assumption that the self-confidence an individual acquires in performing his work derives from a number of conditions that are clearly under the influence of administration: the kind of supervision he receives; the op-

¹¹ Ralph F. Fuchs, "Intellectual Freedom and the Educational Process," *American Association of University Professors Bulletin*, 42:3 (Autumn 1956), 471-472.

portunities he has for participating in decisions affecting his work; and the opportunities for development, fair treatment, and job satisfaction. In brief, security on the job for personnel is contingent on a variety of administrative actions that are taken to enable individuals to work more effectively.

Continuity of Personnel Service

In previous chapters we examined the various processes of the personnel function essential to attracting competent people into the system. These include manpower planning, compensation, recruitment, selection, and induction. In addition, we looked at ways of helping personnel to develop their abilities and to integrate their individual and group interests with those of the organization. In brief, these processes seek to transform inexperienced outsiders into qualified insiders.

In this chapter we shall look at organizational provisions designed to retain personnel and to foster continuity in personnel service. We shall focus on detailed plans for improving the continuity of personnel service, as well as on the process by which such plans are designed, implemented, and controlled. In so doing, we shall see what organizations can do to maintain the health and occupational mobility of members, to provide for their well-being, to arrange for their separation from the system, and to have replacements available when, for any of a multitude of reasons, they are unable to perform their work.

Even in school systems where planning concepts are subscribed to and implemented, things do not always run smoothly. A sustained effort must be made to keep any organization operating effectively on a day-to-day basis. Human beings have a way of interfering with plans, violating rules, and behaving in other ways inimical to the interests of the organization. So long as individuals fill positions in school systems, there will be problems. Some will become physically or mentally ill, others obsolescent. Some will need to be absent from their work. Some will have work-connected accidents. Some will be affected by the physical conditions of employment, such as the amount of light, heat, ventilation, or noise, as well as sanitation conditions and safety hazards. Some will have stresses connected with their work, home, or interpersonal relationships, which will require counseling. Some may become unproductive if they do not have leaves of absence for self-renewal.

The school system is interested in dealing with personal problems such as the foregoing primarily because they affect two of its strategic goals—stability and development. The system needs healthy, happy, productive people who are constantly on the job, who are physically and mentally

able to contribute maximally to the work of the enterprise, and who maintain a favorable attitude toward their roles and the environment in which they function.

The nature and scope of provisions for maintaining continuity of personnel service must be determined by the school system. The system must decide to what extent provisions should be made for enhancing continuity of service, what types of programs are needed, and how they will be organized and administered. We shall next examine the process by which personnel plans are designed and implemented.

The Personnel Continuity Process

Keeping the school system continually staffed with competent personnel involves consideration of and action on problems related to leaves of absence, substitute service, health, safety, promotion, transfer, separation, resignation, termination, and retirement. The process by which the foregoing problems are dealt with varies from but has much in common with arrangements for making and carrying out other organizational decisions. Operations relating to some phases of personnel service recur frequently; leaves of absences, health, substitute service, and safety are aspects of personnel administration that confront administrators daily. One important use of the process outlined in Figure 15.1 is to help planners isolate the recurring elements of these problems and to standardize the manner in which they are treated. If, for example, a relative of one of the system's teachers dies, the procedures employed in handling a request by the teacher for a leave of absence to attend the funeral should be routinized well in advance of the event.

It is not suggested that the activities listed in Figure 15.1 occur sequentially. Rather, the intent of the process outlined is to show that if the system is to be manned properly and continuously, a course of action

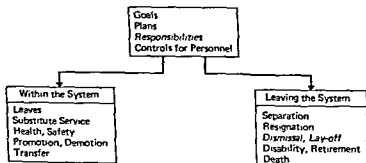


Figure 15.1. Model of the personnel continuity process.

must be projected. In this case it consists of making a series of decisions about continuity of service, including: (1) what the plans are expected to achieve; (2) what types of plans are needed to realize the expectations; (3) who will be responsible for what phases of the program; (4) what the specifics of each type of program will be; and (5) how the results of the process will be determined. In sum, plans are developed for each of the subprocesses listed in Figure 15.1. This includes selecting activities to implement each subprocess, having the human and physical resources available when and where they are needed, and linking these plans to other plans and subplans relating to personnel administration.

GOALS

Analysis of the activities involved in the personnel continuity process outlined in Figure 15.1 indicates that there are two clusters of activities. One group of activities is concerned with the health, safety, and mobility of continuing personnel; the second group is focused upon members who are voluntarily or involuntarily leaving the system. The expectations or results which the system intends to achieve from plans for service continuity are both long- and short-range and include the following:

- Improve the ability of the school system to perform its function.
- Improve the system's physical, psychological, and organizational environment.
- Prevent and control occupational stress.
- Control personnel costs.
- Provide position security for personnel.
- Control avoidable absenteeism and lateness.
- Furnish financial protection against risks such as illness and accidents.
- Reduce personnel turnover.
- Facilitate change within the system.
- Improve individual and system effectiveness.
- Prevent accidents.
- Maintain position and system performance standards.
- Comply with statutory requirements.
- Provide opportunity for personnel self-development and self-renewal.
- Establish program limits.
- Resolve preretirement problems of personal adjustment.

A clear statement of goals serves as a planning base for dealing with problems related to efficacy of personnel service. Clearly understood goals facilitate the staff's understanding of policies, aid unit heads in administering plans, become a focus for individual motivation, and serve as con-

trol standards. To be most useful, however, goals must be translated into specific plans of action. Several types of plans, including policies and budgets, are discussed in the following section to illustrate how broad goals are translated into more specific guides for administrative action.

TRANSLATING GOALS INTO ADMINISTRATIVE ACTION

Once the goals for maintaining continuity of personnel service have been set forth, implementation by school officials must follow. Early in the planning stages, at least two types of action are necessary. One of these is the preparation of a series of policy statements to guide members of the school system in designing and implementing specific programs. Thus, we find the Cloudercroft school system defining their policies as follows:

It is the policy of the Cloudercroft school system to

- Grant leaves of absence for acceptable reasons.
- Provide assistance to individual staff members in maintaining and improving their physical and mental health.
- Provide an attractive and efficient environment by maintaining good physical working conditions.
- Install every practical safety device, take every measure to prevent accidents, guard against mechanical failure, and provide adequate equipment for accident and fire prevention.
- Make available adequate substitutes for absentees.
- Fill vacancies by upgrading or promoting from within whenever present employees are qualified.
- Encourage transfers when in the interest of the individual and the system.
- Protect personnel against unfair separation from the system.
- Assist personnel to plan for retirement.

This policy statement is somewhat more specific than the goals outlined earlier, but it still lacks details needed to implement plans. The several programs needed for maintaining continuity of personnel service take shape in detail as budgets are formulated. The budget forces administrators to put a price tag on plans for keeping the organization properly and continuously staffed. The details of each plan must be specified sufficiently to enable costs to be estimated. Thus, it is through the budget that goals are translated into specific courses of action.

The figures in a budget represent the money necessary to activate or maintain plans. They represent cost estimates of proposals submitted by operating administrators. The specific problems to be dealt with, their

relevance to budgeting, and the alternative courses of action to be considered, will be discussed later in this chapter.

Two types of activities—planning and doing—are essential to making programs for continuity of personnel service work. Much of the basic planning, and a considerable share of the coordination related to continuity of personnel service rest with the central administration. Each of the activities shown in Figure 15.1 entails subactivities that are governed by statute or by contract, and they must be put into operation by the chief executive on behalf of the school system.

Personnel directors are almost universally involved in rendering advice and service to the central administration and to unit heads. Designing control forms for various activities is a task frequently delegated to the personnel office. This unit is also the logical agency for planning the continuity process outlined in Figure 15.1, for giving advice to line administrators on counseling procedures, for appraising the results of the personnel continuity process, and for informing the staff of its purposes and provisions. Direct responsibility for administering the details of individual programs must reside with the heads of operating units, because it is in their jurisdictions that actual problems arise and where centrally designed procedures are put into practice. In the following sections discussion will focus on detailed programs for keeping the school system staffed adequately and continuously.

Leaves of Absence

Of the two clusters of personnel activities shown in Figure 15.1, one focuses generally on personnel health and development; the second on personnel separation. In the text following we shall consider activities in the first cluster and their relationship to continuity of personnel service. Let us first examine leaves of absence in the context of the continuity process.

A leave of absence may be defined as absence from employment by permission, with or without compensation, for a stated period of time, without severing the employment relationship. Regardless of the size of the school district, leave policies and procedures are essential, as may be seen from the many reasons for such leaves listed in Table 15.1. Increasingly, school systems throughout the nation are initiating or improving provisions governing leaves of absence.

Although a leave of absence plan serves many purposes, its primary focus is on the satisfaction of individual needs. In safeguarding the mental and physical well-being of the school staff, maintaining employ-

Table 15.1. *Types of Leaves of Absence*

Personal	Maternity
Family and bereavement	Marriage
Exchange teaching	Professional, such as research or serving professional organizations
Religious holidays	Opportunity for self-development
Travel or study	Jury and trial witness duty
Conferences, meetings, or conventions, or to receive degrees	
Sabbatical	Military
Temporary active military duty	Illness

ment security, and fostering professional growth and morale, the leave plan is not considered to be an end in itself, a collateral benefit, or a generous gesture of the board of education. The investment is made on the assumption that it will provide conditions of employment conducive to personnel productivity and work satisfaction.

CHARACTERISTICS OF LEAVE PLANS

It is customary, and frequently mandatory, for school systems to establish provisions governing the absence of personnel because of illness and for other reasons. Illness plans can be classified as either limited or unlimited. The limited plan, frequently established by statute, generally contains provisions governing

- Number of days allowed each year for sick leave.
- Accumulation of leave days from year to year, including the total number of days that can be accumulated.
- Number of days for which sick leave is granted with full or part salary.
- Verification of illness.
- Board regulations extending the period of leave with pay in excess of statutory provisions.
- Waiver of sick-leave provisions in the event that absence is the result of injury while personnel are engaged in remunerative work unrelated to school duties.

Some states have statutory regulations which determine the amount of sick leave on the basis of length of service; some specify how many days of sick leave are mandatory at full pay; and others leave this matter to the discretion of the local board.

The unlimited sick leave plan, which is in effect in only a small number of school districts, places no limit on the number of days personnel may

be absent because of illness. This type of leave may provide for full or part pay, or a combination in which full pay is granted for a limited number of days, after which time part pay is granted without time limitations.

Leaves of absence for purposes *other than illness* are less often prescribed by statute or included in local board leave policies. These include leaves for professional development, professional service, civic duties, and personal matters. Death in the family, professional study, exchange teaching, maternity, and attendance at educational meetings account for a majority of leaves granted for reasons other than illness.

GUIDELINES FOR ADMINISTERING THE LEAVE PROGRAM

A comprehensive leave program, which increasingly appears to be an organizational necessity as well as a national tendency, calls for resolution of many and varied issues, including

- Reasons for which a school district should grant leave of absence.
- Limit on the number of personnel on nonillness leaves.
- Conditions which shall attach to each type of leave, type of application required, salary on return to service, service required after return from leave, assignment upon return to service, termination of leave, and notice of intention to return to service.
- Plans for minimizing abuse of the absence privilege.
- Arrangements necessary for safeguarding the education of pupils.
- Priorities the leave program (nonmandatory features) should be given in the budget.
- Assistance of the school staff in planning the leave program cooperatively.
- Provisions for periodic review and revision of leave policies and procedures.
- Plans for keeping personnel informed of current practices and recent changes.
- Records and reports needed to administer the leave program effectively.

Although it is inappropriate to suggest here what the leave program for any school system should be, certain suggestions can be made as a guide to planning. An analysis of the system's experience with a leave plan over a period of years is a useful starting point. One of the purposes of such an audit would be to determine the nature and scope of leave requests, frequency of occurrence, budgetary requirements, priorities, privileges subject to abuse, and suitability of existing administrative controls. The leave-of-absence planning grid, shown in Figure 15.2, is a

Types of Leave	1 Application Procedures	2 Eligibility Requirements	3 Conditions of Leave	4 Termination Procedures	5 Compensation
A. Personal Illness					
B. Extension of Personal Illness					
C. Death in Family					
D. Exchange Teaching					
E. Religious Holidays					
F. Travel or Study					
G. Development Conferences					
H. Sabbatical					
I. Military					
J. Maternity					
K. Marriage					
L. Professional Service					
M. Jury and Witness Duty					
N. Civic Obligations					
O. Opportunity					
P. Other					

Figure 15.2. Leave-of-absence planning grid.

convenient technique for reviewing and planning a leave program. If we consider the 80 cells shown in Figure 15.2, we can gain a perspective of the planning decisions required by a leave plan that includes all personnel on the system payroll. In addition, the grid can be used to identify priorities, estimate financial support required, and review the need for addition or elimination of components from the program.

Leaves of absence are the subject of statutory law and are frequently litigated in the courts, especially the legal rights relative to sabbatical leave.¹ Recently, the matter of mandatory maternity leaves has received consideration in government and in the courts. In precedent-setting

¹ *Encyclopedia of Education* Vol. 9 (New York: Macmillan Publishing Co., Inc., and the Free Press, 1971), 17-18.

decrees, courts and federal and state authorities have branded compulsory maternity leaves either unconstitutional or illegal.^{2,3}

Substitute Service

An important adjunct to the leave-of-absence program is a plan for providing substitute service. Unless there are qualified replacements for personnel who are absent, the leave plan is incomplete and indefensible. A liberal leave plan that results in low-level instruction is not likely to engender public confidence and support. Although the reasons often given for the general inferior quality of substitute service are numerous and varied, they are not very convincing. It is generally recognized that substitute service can be improved through deliberate and continuous planning.

The inability to recruit sufficient and qualified replacements accounts for many of the problems attending substitute service. This is especially true in school districts not located near large population centers. For a substantial number of small school systems, some of the following suggestions will be useless because of the lack of personnel who can be induced on short notice to travel long distances and to work for the per diem rates usually prevailing for this type of service. The substitute service problem in the small district, like many other problems inherent to such districts, appears destined to remain unresolved until school administrative units are reorganized.

It is argued by some administrators that the day-to-day substitute expedient has not, and in all likelihood will not, produce satisfactory results. Supporters of this view contend that limitations such as the following give strength to their reasoning:

- Most qualified teachers who would ordinarily be available for substitute service can be employed on a regular basis when they seek work.
- The substitute-teacher list generally includes a substantial proportion of incompetents.
- Personnel absence can no longer be looked on as an unusual occurrence, because an increasing number of teachers are inclined to take

² "Goodbye, Mandatory Maternity Leaves," *Nation's Schools*, 90:4 (October 1972), 10-14.

³ "Pregnant Schoolgirls and Pregnant Teachers. The Policy Problem School Districts Can Sidestep No Longer," *American School Board Journal*, 160:3 (March 1973), 23-31.

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full advantage of the number of allowable days granted under leave or disability plans.

- The cost differential between permanent and day-to-day substitute service is not great enough to warrant continuation of the generally inferior service resulting from the latter arrangement.
- The difficulty of predicting need presents considerable administrative difficulties.
- The inordinate amount of administrative effort required to recruit, select, and supervise the day-to-day substitute is an unnecessary waste of organizational resources.
- Involving temporary personnel in the regular school program creates additional supervisory problems.
- The increase in disciplinary cases that attends the use of temporary substitute teachers raises questions as to the efficacy of the day-to-day substitute procedure.

When reviewing these arguments, one of the difficulties often confronting the school system is the lack of evidence dealing specifically with the substitute service problem. Is this sparsity of information the result of an assumption that the day-to-day substitute expedient is the most satisfactory approach conceivable, or the result of continued neglect of an old problem?

Arguments favoring abolition of the traditional substitute teacher procedures have substance and are especially applicable in school districts where replacements are needed continually. It is reasonable to assume that most administrators would favor an arrangement whereby permanent personnel would be employed instead of substitute teachers. The cost factor, however, has been a major deterrent. But the level of instruction that could be maintained through a permanent corps of reserve teachers would appear to offset the financial burden. It can be argued that the permanent corps would produce greater returns for the investment, whereas the part-time approach involves substantial expenditures without a reasonable probability of appreciable returns.

Providing replacements for absent teachers or other personnel is a problem that can no longer be treated as an administrative or budgetary happenstance. It must be viewed as an important task that is essential to maintenance of a satisfactory level of instruction. Like any other recurrent need, it requires a plan of action, reinforced by board policies and budgetary provisions. The solution lies in a balanced, multilateral approach, including:

- Formulation of a specific plan to be followed in the administration of personnel replacements.
- Written specifications for quality of replacements.
- A permanent, specialized corps of replacements to meet minimum

system needs, to be composed of competent personnel, selected and trained to deal with special problems of substitution. A salary incentive is suggested because of the exacting nature of the assignment.

- A second group of temporary personnel to be employed seasonally when the demand for replacements cannot be filled by the permanent corps. This group to be recruited and selected on the basis of criteria for personnel able to perform in this capacity.
- Clear definition of the responsibilities for carrying out the details of the replacement plan. This includes development, assignment, and full utilization of the permanent corps, as well as recruitment, selection, orientation, supervision, and appraisal of temporary personnel.⁴
- Preparation of a handbook for temporary employees routinizing procedures to be followed and helping to clarify and minimize problems usually encountered when regular personnel are absent.
- Advance planning in each building unit by the principal and regular staff regarding preparation and maintenance of plans to be used by temporary personnel. This point is important because continuity of instruction can be enhanced by clear directions.
- Continuous appraisal of the replacement plan. Records of the daily, monthly, and yearly absence rates are necessary to improve various aspects of this service, such as the predictable need for temporary personnel and the effects of whatever plan is employed on the quality of instruction.
- Differential pay scales for short-term and long-term substitutes and for substitutes with different educational backgrounds.⁵
- Use of a computer system in large school systems to search for and select the best possible teacher for the assignment at hand.⁶

The need for temporary help is of course not confined to professional personnel. Service personnel are frequently needed on a temporary basis when regular employees are absent because of illness, vacation, or special assignment. Temporaries are also needed occasionally to supplement the regular service personnel force during work peaks; to fill temporarily a position that has been vacated while a study is made to determine whether the position should be continued; or to occupy tentatively a position that is being developed, until such time as the position description is formally developed and written. Stover notes that such employees do not

⁴ Roosevelt Washington, Jr., "Substitute Teachers Need Supervisory Help," *Educational Leadership*, 30:2 (November 1972), 153-156.

⁵ A. Bruce Hartung, "Substitute Teacher Policies: A National Inconsistency," *Contemporary Education*, 44:1 (October 1972), 5-6.

⁶ Hobart Loomis and Joseph E. Sucher, "Finding Substitutes in a Hurry," *School Management*, 16:10 (October 1972), 24-25.

affect the unemployment insurance rate if they have to be terminated, do not add to the cost of fringe benefits or payroll maintenance, and are outside the normal policy requirements for personnel.⁷

Absenteeism and Lateness

Absenteeism and lateness are directly related to steady-state staffing plans for the school system. There are various kinds of absences, such as arranged, excused, occasional, and chronic, but the focus of this discussion is on the habitual absentee, the individual who chronically stays away from work for reasons not beyond his control. Lateness may be defined as arriving for work after the designated starting time.

The reasons for absenteeism and lateness are almost as varied and fanciful as the excuses given in court for traffic violations. The impact of these two conditions on the operation of the school system, however, can be significant. The teacher, secretary, custodian, bus driver, or cafeteria worker who is absent or late impairs the work of the school and interferes with the daily routine of other staff members. The cost to the system in poor instruction, work delay, frustration, and work imbalance is high, even when absentees are not paid. It is therefore desirable to reduce to a minimum the avoidable absence and lateness rates in the school system. No simple guide exists for controlling personnel absences and lateness in any organization, because their causes are often complex, including mental illness, the desire to avoid stress in a work assignment, alcoholism, and other personal problems. Nevertheless, an absence and lateness control program is an essential element of personnel administration. The following are included to stimulate thought about the absence and lateness control program as an ingredient of plans for maintaining the continuity of personnel service:

- Development of an absence control program.
- Incorporation of rules in the personnel handbook governing absence and lateness. This includes the requirement that each employee report lateness or absence on forms especially devised for control purposes.
- Communication to all personnel of absence, lateness, and enforcement procedures.
- Centralization in the personnel office of records and reports relating to absenteeism and lateness.

⁷ W. Robert Stover, "The Third-Generation Use of Temporary Services," *Management Review*, 63:12 (December 1974), 17-22.

- Continuous study of facts concerning lateness and absence in the system. Useful in this connection are lateness and absence rates by system and by building unit, as well as reasons, time patterns for absence and lateness, age and sex of absentees, and conditions that may be a source of malingering behavior.
- Use of progressive discipline, including counseling of absence- and lateness-prone personnel, followed by warnings and dismissal when such behavior continues to be chronic.
- Concentration by unit heads on discovering real causes of absence and lateness. The source of the difficulty is often with the individual, but working conditions, position incompatibility, and leadership style often contribute to negative personnel behavior. Staying away from work is considered to be a common defense mechanism to avoid nonrewarding work or position-related problems.
- Treatment of unexcused absences and lateness as unpaid leave.
- *Involvement of a medical team in the absence control program*, including medical treatment of and consultation with chronic offenders.

The causes of absenteeism in modern society are numerous, including weak or indefinite administrative approaches to the problem, social tolerance of absenteeism, abuses of leave benefits, low work motivation, immaturity, a stress-prone society, alcoholism and drug abuse, and poor supervision. Sternhagen suggests that absenteeism from all causes can be studied carefully by use of the following indices: total absent rate, sickness absent rate, severity rate, disability rate, percentage absent per day, percentage disabled per day, average percentage absent per year, and average percentage disabled per year.⁴ The contributions positive absentee policies and absence control programs make to school system continuity are numerous, including greater continuity in teaching and learning, lower turnover, lower benefit costs, more career-oriented personnel, and improved personnel performance.

Health of School Personnel

A desirable feature of any plan for maintaining continuity of personnel service is a comprehensive physical and mental health program. This is a responsibility every educational institution must assume if for no other reason than the welfare of the school child. The purpose of the health

⁴C. J. Sternhagen, "Absenteeism and Tardiness," in *Handbook of Modern Personnel Administration*, Joseph J. Famularo, Ed., (New York: McGraw-Hill Book Company, 1972), Chap. 61.

program for school personnel is to maintain an optimum environment for children, reduce personnel absence, secure maximum personnel performance, and to place personnel in positions compatible with their physical, mental, and emotional qualifications.

In exploring problems related to a comprehensive health program for the entire school staff, we shall consider the following aspects: physical health, mental health, working conditions, counseling, and safety. Our primary concern here is to examine the provisions that schools can make in each of these categories to maintain the health of personnel. Throughout this discussion it is assumed that clinical aspects of the health of individual staff members are the responsibility of the personal physician and health and medical agencies.

The basic elements of a health program for school personnel include

- A selection process designed to eliminate from employment applicants who are chronically subject to health problems; placement of handicapped personnel in positions suitable to their performance level.
- A counseling program designed to assist unit administrators in dealing with personnel who have mental or physical problems that interfere seriously with their day-to-day performance.
- Periodic examinations to ensure physical and emotional fitness of personnel.
- Arrangements to care for personnel involved in accidents or medical emergencies.
- Provisions for evaluating the physical fitness of personnel who are transferred to work entailing physical stress, such as transportation or gymnastics; and of personnel returning to work after extended absence owing to illness or injury.

PHYSICAL HEALTH OF PERSONNEL

Two minimum requirements of the school personnel health program are preemployment health standards and periodic examinations.

Preemployment Health Standards. A principle of considerable standing in school administration (noted in Chapter 7) is that selection of personnel should be based on standards essential to satisfactory performance. One such standard that should be applied to all candidates for employment in the public schools is sound health, including mental, physical, and emotional vigor. An indispensable preliminary to any plan for maintaining a healthy staff is the preemployment health examination, aimed

at eliminating applicants incapable of meeting health standards established by the system.

Statutory provisions in certain states establish a basis for the health examination, although there is considerable variation among the states in health examination requirements for school personnel. Some states have no requirements; in others, a health examination is prerequisite to employment. Periodic health examinations during employment are required in some states; in others, the matter rests with the local board.

Preemployment health standards should go beyond minimum state requirements. Cooperative development of personnel health standards by school and community or regional medical authorities is desirable when such action is feasible. This approach will enable the school district to establish uniform and valid specifications for the examination of applicants. Expenses occasioned by the preemployment examinations should be planned for in the annual budget. This expenditure should be considered a control measure exercised for the protection of the school community.

Periodic Examinations. The preemployment examination is but the beginning of a program to promote continuity of personnel service. In order to maintain personnel health standards, a systematic procedure should be developed to make provisions for periodic medical examinations and chest x-rays, prescribe administrative action to be taken when a report indicates that an individual needs medical attention or is a source of contagion, and indicate the procedure to be followed upon the return of an employee after a leave of absence owing to an illness.

Among the purposes served by periodic health examinations are the prevention and detection of potentially serious physical, mental, and emotional disorders, and placement of individuals, especially those approaching retirement or suffering from physical incapacities, in positions compatible with their physical capacity. The bus driver whose vision is impaired or the custodian who is a potential risk on a ladder-climbing or window-cleaning assignment illustrates the point.

MENTAL HEALTH OF SCHOOL PERSONNEL

The world in which men live and the institutions in which they work are not places where perfect happiness prevails. Environmental conditions and occupational demands create stresses for all individuals. The major task of personnel administration with respect to the mental health of the school staff is to help the system create a situation in which individuals desire to render service effectively and efficiently. Particularly

important in its potential for contributing to positive attitudes is the relationship between superiors and subordinates.

In considering the approach of a school system to mental health problems of its personnel, several points deserve emphasis. One is the care that should be taken in the selection process to detect and to screen out psychotic or highly neurotic applicants. Some organizations include in their procedures comprehensive preplacement neurological examinations along with physical examinations. Brodbelt proposes the following approaches to the problem of maladjusted teachers: (1) diagnosis, and counseling maladjusted students out of teaching by teacher preparatory institutions; (2) regular evaluation on the job; (3) leaves of absence; and (4) follow-up of children's complaints about teachers by parents.⁹ Bower and Greenfeld, in a study of disturbed teachers whose credentials were revoked, attempted to discover the extent to which data collected via certification procedures can be predictive of teachers whose credentials subsequently will be revoked because of emotional disturbances. Their findings include the following:

Forty-four teachers whose credentials were revoked for behavior associated with serious emotional problems were compared on credential application forms, health records and transcripts to 44 unrevoked teachers. The revoked group were older, received second and third credentials with greater frequency, received more "regular" credentials, attended colleges of high reputation more frequently, had more frequent contact with law, nervous breakdowns and breaks in work. It appears from all this that such prospective disturbed individuals may enter the field of teaching as a second, third, or last choice.

Emotional stability is considered an important professional competence in teachers. There is, however, a remarkable lack of research on the prevalence or incidence of mental health problems in teachers, the consequences of such conditions in teachers on students, how screening techniques might be employed to assist prospective teachers who need help to obtain services earlier, and how institutions of higher education can redirect more effectively and courageously students with high levels of instability into less emotionally arduous careers.¹⁰

Another point to be emphasized is that the entire range of administrative activities in a school system has potential for preventive mental maintenance. Broadly conceived, the total personnel function is concerned with the health and general welfare of the school employee. Hence, many

⁹ Samuel Brodbelt, "Teachers' Mental Health: Whose Responsibility?" *Phi Delta Kappan*, 55:4 (December 1973), 268-269.

¹⁰ Eli M. Bower and Stuart Greenfeld, "Disturbed Teachers Whose Credentials Were Revoked: A Comparison with Other Teachers," *Psychology in the Schools*, 10:1 (January 1973), 54-60.

of the approaches suggested throughout this book to satisfy human needs are ways of helping staff members to adapt to the conditions for making a living and a life. Provisions for motivating desirable behavior include proper placement, meaningful work, position enlargement, opportunity to progress through a career pattern, decent compensation, opportunities for initiative and development, security, information, effective supervision, ability to participate in decisions affecting individual performance, thorough and fair appraisal of performance, counseling, grievance procedures, and organizational democracy. Plans for dealing with problems in the system between people, between roles, between levels of power and knowledge, and between pockets of friendship, familiarity, and high-frequency communication are included in this category.²¹

Adaptation to the organizational environment is closely related to the mental health of school personnel. The school administration can promote preventive mental maintenance by genuine efforts to locate and deal with sources of discontent, destructive tensions, and antisystem behavior. Although it is true that the origins of the mental problems of some individuals are not of the system's making, the obligation to maintain an environment conducive to mental well-being is inescapable.

WORKING CONDITIONS

Working conditions, as the term is used here, refers to physical surroundings and other factors that affect performance and health, both physical and mental. While it is taken for granted that schools in which the formal education of children and youth takes place are properly lighted, heated, and air-conditioned, that there are adequate restrooms, water coolers, work space, and lunchroom facilities, such is not always the case. Moreover, some of the physical demands made of service personnel invite physical and mental health problems. The mechanic without power tools, the custodian without proper snow-removal machinery, the food-service worker who must lift or carry objects without benefit of adequate equipment and facilities to assist her illustrates this point.

Books have been written on the importance of the design of a school building to the success of the educational program and to the mental and physical well-being of personnel. The only point that needs to be emphasized here is that inadequate physical facilities can lead to undesirable personnel behavior. Large-group instruction, for example, cannot be conducted without proper physical space and equipment. Teachers cannot prepare classroom materials without access to adequate work space. The

²¹ Frederick F. Lighthall, "A Social Psychologist for School Systems," *Psychology in the Schools*, 6:1 (January 1960), 3-12.

additional consequences of inadequate instructional preparation, lunch-rooms, and restrooms for teachers require no elaboration.

COUNSELING

Maintenance of continuity of personnel service rests to a considerable extent upon the continual solution by the system of the human problems of its members. As noted earlier, various kinds of assistance are needed by staff members. Always present is the need for help in adjusting to a position, to working conditions, and to other personnel; for advice on personal matters related and unrelated to work, and for suggestions on development and career plans. Among the arrangements for promoting the mental and physical health of school personnel through counseling are these:

- Provisions within the system or on a referral basis for psychological counseling services of personnel by qualified professionals.
- Provisions within the system or on a referral basis for health counseling services of personnel by qualified medical specialists.
- Provisions for counseling by the unit head in the form of information and suggestions relative to position performance.
- Provisions within the system or on a referral basis for counseling services to assist personnel in the utilization of community resources to resolve personal problems.
- Provisions for preretirement counseling.

The unit head, such as the principal, director, or department head is looked upon as an important agent in promoting the well-being of his subordinates. The individual staff member should be able to turn to his superior when he has a problem or is dissatisfied. The unit head appraises the performance of the subordinate and helps him establish realizable goals. He provides information, advice, and assistance in dealing with problems and grievances. He helps his subordinates think through the problems with which they are confronted. He suggests referrals of deep-seated problems to professional psychological or medical consultants. In sum, the unit head is a key person in helping personnel to meet problems.

The necessity for the board of education to establish advisory medical services for its personnel is hardly debatable. There are special occasions, for example, when the physical, mental, or emotional fitness of an employee to perform his duties is subject to question. Some school boards reserve the right to require any school employee to submit to a special examination. There are persons malingering at public expense who should be required to submit to such examinations.

Problems such as the foregoing suggest that administrative machinery is needed to provide advisory medical service to the board of education,

and under special circumstances, to school personnel. The intent of such an arrangement is not to provide clinical services at public expense, but rather to make available referral services that can be utilized by the system when special personnel problems arise.

SAFETY OF PERSONNEL

No plan for maintaining continuity of service would be complete without systematic provisions for the safety of personnel. Although fatality and accident rates in educational institutions are relatively low, experience has shown that mishaps occur more often than they should. The potential for accidents in a school system is greatest in certain types of work performed by service personnel, such as transportation, maintenance, operation, and food service. There are physical hazards in every school plant that may prove costly in terms of manpower losses, damage to facilities, increased insurance rates, and interruption of service. Consequently, a personnel safety program designed to minimize accidents, mishaps, injuries, and fatalities is an organizational necessity. Its nature and scope will depend to a large extent upon the size of the organization. The major components of a well-rounded safety plan include the following:

Policy. A written policy governing the safety of the personnel (see pp. 82-83) is evidence of the board's intent to take positive steps to create an institutional environment as free of hazards to personnel as possible. Such a statement provides the chief executive and his staff with the authority to take steps to develop a safety program.

Board Commitment. A policy without budgetary provisions to support it is meaningless. The board's commitment to personnel safety can be judged by the fiscal support it gives to eliminating physical hazards, providing training through safety programs, and installing equipment with safety devices.

Organization. Responsibility for planning and operating a safety program should be fixed, regardless of the scope of the program. A safety committee, working under the direction of the chief executive, is one useful method for organizing and coordinating safety plans on a systemwide basis. The functions of such a body would be to recommend safety plans, including policy proposals and procedures, to gather and disseminate safety information, including handbooks for service personnel, and to link safety education to selected staff development programs.

Engineering. Elimination of hazards from school facilities, equipment, and work processes, although not intrinsically a personnel function, is an

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Engineering. Elimination of hazards from school facilities, equipment, and work processes, although not intrinsically a personnel function, is an

important concern. The personnel director, as well as the safety committee, have a responsibility to focus the attention of the administration on conditions that create hazards to personnel.

Inspections. Within the organizational structure, provision should be made for periodic inspection of school facilities and equipment to ensure that safety standards are adhered to, and to identify potential hazards. Technical advice will be necessary in formulating a plan.

Investigation. Investigating and reporting of accidents to personnel on school premises should be systematized to the point where all essential information is gathered and analyzed to determine what corrective action should be taken. Accident records will enable the safety committee to determine which individuals are accident-prone, what the safety hazards are, and the ability of personnel to perform certain tasks safely.

Safety Training. Under certain circumstances, safety training is essential, for example, for school personnel who must operate such mechanical equipment as tractors, mowers, sprayers, heating and ventilating equipment, ladders, vehicles, chain saws, and so on.

Promotion, Demotion, Transfer of Personnel

The model of the personnel continuity process outlined in Figure 15.1 indicates that maintenance of staffing steadiness includes provisions for dealing with personnel mobility problems, including promotion, demotion, and transfer. Each of these areas will be examined subsequently.

PROMOTION OF PERSONNEL

Promotion is generally taken to mean an advance in status or position. Frequently it implies a change in duties, responsibility, and compensation. It belongs to the cluster of administrative problems relating to movement of personnel into and out of the organization—recruitment, selection, placement, transfer, and separation. The promotion problem is a significant aspect of personnel administration. The school system is dependent on availability of qualified replacements at all administrative levels. Opportunity for promotion is related to the recruitment and retention of personnel. It is also necessary so as to maximize a realization of the desires and interests of personnel.

The effect of promotion practices on morale should also be considered. Negative effects of promotions made solely on the basis of loyalty, friendship, consistent agreement with administrative viewpoints, showmanship, and favoritism are generally recognized. Because of the harmful effects of such promotion practices, increasing attention is being devoted to the improvement of promotion policies.

The problem of developing policy on promotion is extremely delicate. Many school administrators contend that for the typical system

- The number of administrators is so small that the opportunity for promotion is extremely limited.
- Competition for administrative positions, with their higher compensation, has resulted in a loss of many excellent classroom teachers.
- Development plans for classroom teachers are often centered on preparation for administrative positions rather than on improvement of teaching performance and/or the educational program.
- Extensive encouragement of classroom personnel to prepare for administrative positions has a detrimental effect on the maintenance of a superior teaching staff.

In light of these conditions, administrators argue, administration should not exalt the relatively few promotional opportunities, but should concern itself more with improving conditions of work and compensation with a view to retaining able personnel in the classroom. In support of this argument, the proponents note that the number of certificated administrators greatly exceeds the available administrative positions. Although the supply of administrators does generally exceed demand, there is still a need for the establishment of a systematic promotion plan in the local school district. Without a planned program to produce leaders, competent personnel may not develop their potential. The promotion problem, if left to chance, will probably lead to practices not conducive to staff morale.

Whether personnel should be advanced from within the system, as opposed to being selected from the outside, is another problem to be considered in developing promotion policy. The argument generally advanced for promotion from within is that it is essential to attract and retain highly qualified persons to a career within the system. Unless there is assured opportunity for promotion, the career-minded person looks to other systems or to other areas of service where his talents will be recognized and where greater financial rewards will be available.

The danger some see in the promotion-from-within concept is inbreeding and stagnation, as well as denial of freedom of choice to those responsible for staffing the system. It is conceivable, also, that properly qualified candidates may not exist within the system to meet the specifications of a vacancy.

On balance, a guiding principle in developing policy would seem to be

that of encouraging promotion from within, unless there is reason to believe that vacancies can best be filled through competition from the outside. If proper steps are taken to attract, retain, and develop a staff of high quality, promotion from within should meet most of the needs for higher administrative positions. Through a carefully planned development program, school officials can identify administrative capabilities within the system, provide opportunities in which such capabilities can be assessed, and establish a talent bank from which to fill vacancies as they occur. Such a program tends to minimize the "inside or outside" issue, because it creates a long-range plan for providing administrative personnel as needed.

An additional problem in developing a system for promoting personnel is uncertainty as to how to select candidates for promotion. This problem is related to imperfections in the appraisal process. Attempts to objectify the promotion process have led to the use of competitive examinations, rating devices, seniority plans, assessment centers, and planned experiences such as job rotation, internships, or assistantships. These efforts have helped to improve opportunities for promotion and have fostered the principle of merit promotion. However, no single method is completely dependable. A combination of several or all of these methods, including the application of position guides, generally secures results that are more satisfactory than those derived from the use of any single criterion.

Although we cannot discuss here all the ramifications of developing a sound system of promotion, it is practicable to suggest a number of guidelines. Clearly defined policy statements should be developed by the board of education, indicating its intent with respect to promotion of all organizational personnel. Procedures for implementing policy should be clear and unequivocal on these points: how vacancies in higher positions are to be filled, the extent to which opportunities are available for promotion from within the organization, the means by which promotable persons are to be identified, the bases on which promotion is to be decided, the conditions under which selection for higher positions will be made from outside the organization, the extent to which the administration will assist personnel in preparation for higher positions, whether opportunity for promotion is systemwide, and which personnel are responsible for carrying out promotion policy.

In its broadest sense, promotion should be viewed as the culmination of a series of related developmental activities, beginning with the recruitment of personnel, the aim of which is to attract those individuals who appear to possess potential for future advancement. Placement, supervision, in-service development, and transfer activities should be so integrated that the decision to promote will be based on a long-term appraisal

and developmental process aimed at minimizing unsatisfactory appointments resulting from hasty action.

Promotion should be based on a planned program of appraisal which is designed to assess the individual's past and current performance as well as his capacity for growth and development in assignments contemplated by the administration. A combination of appraisal devices is desirable to enable appraisers to make judgments of qualifications of the individual in relation to position specifications. In order to minimize prejudice and injustice, the appraisal of promotable persons should also involve the judgment of more than one administrator.

An emerging approach of considerable promise to the problem of promotion is the *assessment center* concept. The general idea underlying the assessment center is to provide a systematic means for enhancing the identification and upward mobility of promotable personnel within the system. A group of candidates or interns are nominated to attend a center for varying periods of time. Various devices are utilized in the center to identify candidate potential, including in-depth interviews, group exercises, simulation exercises, games, problem-solving, tests, and individual performance in various roles. In addition to the central objective of identifying promotable personnel, the assessment center provides opportunities for identifying potential among women and minority-group employees. Lyon and Saario note, for example, that women hold a majority of all public school teaching positions but relatively few administrative positions.¹² Inclusion of women and minority groups in internship or assessment center programs would provide school officials with appropriate opportunities for identification and enhancement of the upward mobility of personnel in these groups.¹³

In general, promoting from within is considered to be desirable for a variety of reasons, including increased motivation, loyalty, and position satisfaction, as well as improvement in selection procedures. One of the problems associated with internal promotion, however, is its impact on candidates who are bypassed. Consequently, promotion procedures, if they are to minimize negative behavior of unsuccessful candidates, should be designed in a way that they are perceived as equitable by the personnel who are affected.

¹² Catherine Dillon Lyon and Terry N. Saario, "Women in Public Education: Sexual Discrimination in Promotions," *Phi Delta Kappan*, 55:2 (October 1973), 120-123.

¹³ For a review of assessment centers, see Allen I. Kravt, "A Hard Look at Management Assessment Centers and Their Future," *Personnel Journal*, 51:5 (May 1972), 317-326; Alfred J. Marrow, Ed., *The Failure of Success* (New York: American Management Association, 1972), 136-169; H. G. Kaufman, *Obsolescence and Professional Career Development* (New York: American Management Association, 1974), 76-78, 161.

Transfer of Personnel

Transfer, promotion, and dismissal of personnel are closely linked to one aspect of manpower planning—the need to shift manpower resources within the system so as to staff vacancies, to place personnel in positions in keeping with their interests and abilities, and to correct staffing errors. The term *transfer*, as used here, refers to the movement of personnel from one position, office, department, or school to another. The movement is generally horizontal and may or may not involve increased responsibilities or compensation. Transfer should not be confused with *reassignment*, which means a change in assignment within the same office, department, division, or school. In general, transfers are initiated either by the administrative staff or by organization personnel and affect both professional and service employees.

Table 15.2. *Reasons for Personnel Transfer*

<i>Transfers Initiated by the Administration</i>	<i>Transfers Initiated by Personnel</i>
Overstaffing in certain units.	Desire to work in a new school.
Enrollment increases or decreases.	Personal friction.
Changes in the organization of instruction.	Physical reasons.
Unsatisfactory service.	"Blind alley" jobs.
Technological advances in maintenance and operation affecting work load of service personnel.	Monotony and stagnation.
Deterioration in personal relationships.	Desire to work in schools that are not in low-income areas and that are not obsolescent.
Planned experience for future administrative service.	Desire for advancement in status or compensation.
Efforts to identify future administrative talent.	Desire to work nearer home.
Necessity of maintaining a well-balanced faculty in every school.	
More appropriate placement.	

Transfer of personnel is an important aspect of school administration, one which deserves more attention from a policy standpoint than it is usually accorded. Some understanding of the extent of the transfer problem can be gained from Table 15.2. This table makes it evident that every school system should give attention to the establishment of personnel transfer policies and procedures. The central consideration should be the welfare of the school children. A plan that places senior members of the faculty in the "favored" schools and inexperienced teachers in the "difficult" schools does not meet this criterion.

Although it is not the purpose of this discussion to prescribe what type

of transfer plan should be established in a given district, certain important decisions need to be made in developing a course of action. These relate to questions such as the following:

- *For what reasons will transfers be made?* It is advisable to establish a minimum length of service personnel must render in a general assignment before a transfer can be effected. The underlying reasons for establishing control of the transfer process are to enable the administration to appraise the performance of the individual, to determine the suitability of the original placement, and to avoid interruptions in the instructional program.
- *What are the circumstances or conditions for which transfer requests will be considered?* Obviously the conditions under which transfers will be granted should be clearly defined. The plan should set forth circumstances under which the administration may initiate the transfer, as well as when personnel may do so. It is important for these conditions to be publicized in the personnel manual or through other media, to minimize misunderstandings. Personnel should understand that they have no inherent right to a given position and that the welfare of the school has a priority over the welfare of personnel.
- *What limits should be established on the number of personnel who may be transferred?* Some school districts limit the number of transfers that may take place during a school year. This control is designed to maintain staff stability, especially in "undesirable" schools.
- *What procedures should be followed in processing transfer requests?* In establishing the transfer plan, attention needs to be given to development of a uniform application procedure for requesting transfer, administrative routing of the request, transmittal of supporting information accompanying the request, designation of persons charged with acting upon the request, and notification of the individual of the decision reached by the administration.
- *What administrative cooperation is necessary in effecting transfers?* The administrator receiving an employee who has been transferred because of unsatisfactory service is usually skeptical. Transfers of this kind require extensive counseling and guidance, as well as cooperation from the receiving administrator in helping the individual to make a satisfactory adjustment to the new position. It is a matter of record that individuals perform satisfactorily in one situation and not in another. Without widespread understanding among administrators of aims of the transfer plan, its chances for success are not very good.

Transfers should be encouraged whenever they are in the interest of the individual and the school system. The transfer is a valuable administrative device for improving staff development and flexibility. It should be con-

strued as a means of putting into practice the concept that administration has a continuing responsibility for matching men and jobs.

Continuous appraisal of transfer policies and procedures should make it possible to improve the operation. It should help administration to secure information on the scope of the transfer problem, on the effect of transfers, on improvement of service, and on those aspects of the transfer plan that are effective as well as ineffective. Such appraisal of personnel performance is fundamental to the success of the transfer plan, for the information it yields is essential in making judgments and decisions about transfer problems.

Many transfer problems revolve around what is referred to as the *dislocated individual*, one who has become a marginal performer because the position outgrows the person, or because of other reasons, such as aging and senility, professional obsolescence, low work motivation, and rejection by peers. Several options are available to the system in dealing with the dislocated individual. These include carefully planned trading between organizational subunits,¹⁴ retraining, demotion, transfer, and dismissal.^{15 16 17 18 19} If the decision is made to retain the individual in the organization, it is essential that whatever approach is adopted should be conducted with this objective in mind: the individual must attain and maintain a prescribed level of performance. A plan not aggressively pursued will not alleviate the problems generated by dislocated personnel.

DEMOTION

Demotion has been defined as a form of transfer or reassignment involving a decrease in salary, status, responsibilities, privilege, and opportunity. Some demotions are beyond the control of the individual, especially in the case of staff reductions. Others are undertaken by the system for a variety of reasons, such as overqualification for the position, mar-

¹⁴ See Norman R. F. Maier, "How to Get Rid of an Unwanted Employee," *Personnel Administration*, 25:8 (November-December 1965), 25-27.

¹⁵ Lawrence L. Steinmetz, "Do Him a Favor—Fire Him!" *Nation's Business*, 55:11 (November 1967), 96-98.

¹⁶ Lawrence L. Steinmetz, *Managing the Marginal and Unsatisfactory Performer* (Reading, Mass.: Addison-Wesley Publishing Co., Inc., 1969); Thomas R. Masterson and Thomas G. Mara, *Motivating the Underperformer* (New York: American Management Association Bulletin No. 130, 1969).

¹⁷ Lawrence L. Steinmetz, "The Unsatisfactory Performer: Salvage or Discharge," *Personnel*, 45:3 (May-June 1968), 46-54.

¹⁸ Samuel R. Connor and John S. Fielden, "Rx for Managerial Shelf-Sitters," *Harvard Business Review*, 51:6 (November-December 1973), 114-116.

¹⁹ Roy Hill, "When a Manager Reaches Middle Age," *Management Review*, 62:6 (June 1973), 57-61.

ginal performance, disciplinary action, or to correct an alleged error in initial placement.

From the standpoint of the system, one of the most important aspects of demotion is that appropriate procedures for such action are established and adhered to scrupulously. Due-process violations in demoting personnel are numerous, and they occur because of failure of local boards to observe individual rights guaranteed under the First, Fifth, Sixth, and Fourteenth Amendments to the U.S. Constitution.^{20 21} In addition, the use of legal counsel prior to action on personnel demotion is advisable, because "ignorance of the law is not an accepted excuse for violating it."

The behavioral aspects of demotion are also important considerations when such action is contemplated. To many individuals, work is the most important element in their lives. To be subjected to a demotion is to most persons a rejection, a crushing blow, one that is likely to generate the severest kind of antiorganizational behavior. For the long-service employee, or for those who have performed faithfully and effectively overtime, demotion may not be the appropriate action if certain responsibilities to which such individuals are assigned can be shifted temporarily to other positions. Other alternatives include transfer to a less demanding position without loss of pay or status, or incentive provisions for early retirement. Such solutions are preferable when they can be arranged without undue interference with system operations and without creating role inequities that may lead to conflict.

Separation of Personnel

School systems are comprised of people working together to achieve a common goal. People create a viable organization, breathe life and purpose into its structure, give it color, depth, and vibrance. Personnel processes discussed throughout this text are the means by which a steady-state in the number, quality, and motivation of personnel is achieved. As illustrated in Figure 15.1, one of the subprocesses of the personnel function is designed to effect a high degree of staffing continuity, which requires attention to problems of people who enter the system, those who remain,

²⁰ *Encyclopedia of Education*, Vol. 9 (New York: Macmillan Publishing Co., Inc., and the Free Press, 1971), 25-30.

²¹ Procedural Guidelines for demotion problems are discussed in James Everett DeVaughn, "Administrative Error in Separation or Reassignment of Professional Personnel in Education: An Analysis of Violations of Due Process As Revealed in Decisions of State and Federal Appellate Courts During the Period January, 1946-June, 1963, with Implications and Guidelines for Policy and Practice." Doctor of Education Project Report (New York: Teachers College, Columbia University, 1964).

and those who, for various reasons, are separated from the system. The text following is devoted to an examination of personnel problems generated by people who leave the system. As will be noted subsequently, people leave organizations voluntarily or involuntarily, temporarily and permanently. The intent of the discussion that follows is to bring to bear on the topic insights, practices, and problems to be considered if personnel separation is to be performed humanely, effectively, and purposefully.

RESIGNATION

One of the most common forms of personnel separation is *resignation*, an action initiated by the individual staff member rather than by the system. Some resignations are frequently beyond the control of the system for a variety of reasons, such as opportunities for higher compensation, illness, promotions, relocation, and maternity. Certain resignations, however, are controllable, especially those associated with poor supervisory practices and unsatisfactory working conditions. Whatever the reasons for resignations, the impact on the system is sizeable in recruitment, development, and replacement costs, as well as in interruptions in the teaching-learning process. Consequently, resignations from the system call for some form of analysis. This analysis is usually referred to as *turnover analysis* (the patterns of movement of the work force into and out of the system). Kay suggests the following approaches:

- Exit interviews. Questionnaires to terminees six months after departure.
- Statistical analysis. Total attrition rates as well as rates by ages, units, positions.²²
- Comparison of terminees by categories, such as "those we hate to see go and will miss," "those whom we will not miss," and "all others."
- Analysis of those areas where there is little turnover.²³

Every separation from the system should involve some sort of procedure that is carefully adhered to for numerous reasons. In the case of resignations, the procedure involves: (1) notification by the individual staff member of intent to resign; (2) documentation (in the form of a

²² Turnover rate in school systems can be calculated as the ratio of separations to total work force $\times 100$ for a given period. Calculating turnover on the basis of accessions rather than separations focuses attention on costs. The formula would be

$$TR (\text{turnover}) = \frac{A (\text{accessions})}{F (\text{total work force})} \times 100$$

For a detailed discussion of turnover personnel measures, see Joseph C. Augustine, "Personnel Turnover," in *Handbook of Modern Personnel Administration* (New York: McGraw-Hill Book Company, 1972), Chap. 62.

²³ Emanuel Kay, *The Crisis in Middle Management* (New York: American Management Association, 1974), 147.

letter) by the school system that the resignation is voluntary; (3) notification of persons in the system who need to know about the resignation; (4) the processing of all paperwork related to resignation; and (5) the exit interview, the results of which are analyzed by the system to determine the extent to which the causes are controllable, and what action, if any, is in order. There is, according to Gellerman, a positive side to turnover. He suggests that it gives the organization an opportunity to bring in new talent, minimizes the number of employees whose salaries rise beyond the midpoint of their range, and is a practical solution to the problem of dull or dead-end jobs that can't be made more attractive. The system can discourage turnover, Gellerman notes, primarily by making it financially or psychologically disadvantageous for the employee to leave.²⁴

DISMISSAL OF PERSONNEL

Dismissal of personnel in any organization is seldom easy or pleasant. Generally it is undertaken with reluctance. It is a matter of deep concern to every school system, one which deserves particular attention because it represents the loss of a considerable investment of time, money, and effort, and often creates unfavorable attitudes toward the school system on the part of persons directly or indirectly involved. On the other hand, elimination of unsuitable personnel from the school system is an imperative responsibility, one which must be exercised in behalf of the welfare of the organization.

Legal aspects of dismissal add to the complexities of the problem. Statutory provisions, contracts, civil service regulations, and collective bargaining agreements are designed to protect personnel from losing their jobs unfairly. The conditions under which dismissal may be effected are generally prescribed; any such action on the part of the school district must be defensible and supported by appropriate evidence.

The primary aim of the organization should not be to discover less painful methods for dismissal of personnel, but to minimize the necessity for such action. It is inevitable that dismissal problems will arise in any organized endeavor, despite careful efforts to recruit, select, place, orient, supervise, and develop personnel. Certain kinds of preventive administrative action can be taken. The initial selection of personnel is the place to begin, for it is better to discover incapable personnel before they enter the system or before they are granted tenure than to dismiss permanent members of the staff. Many personnel problems develop or are not solved be-

²⁴ Saul W. Gellerman, "In Praise of Those Who Leave," *The Conference Board Record* 11:3 (March 1974), 35-36, 38.

cause they are ignored or because the administration does not establish machinery to deal with them realistically. Developing a thoroughgoing appraisal program to assess the capabilities of personnel for permanent service is a major step in prevention of personnel problems that lead to dismissal.

Two kinds of appraisal activities appear to be necessary. The first involves continuous appraisal to discover strengths and weaknesses in individual performance. Appropriate counseling and guidance services should be available to enable personnel to recognize and take the necessary steps to overcome shortcomings. Continuous appraisal of individual performance is also necessary in order to accumulate a solid array of evidence of unsatisfactory performance, evidence that can withstand the rigors of judicial review in the event that dismissal is warranted.

A second type of appraisal relates to the examination of reasons for the dismissal of personnel. Who is dismissed? What are the reasons for dismissal? Is dismissal necessary because of administrative inaction during the period of service? Does the dismissal reflect administrative errors? The point to be made is that a certain amount of self-examination by the administration is necessary in order to correct any conditions induced by shortcomings in the administrative process.

A clear-cut statement of policies and procedures governing dismissal of personnel is needed in every school system. This should enable staff members to know what is expected of them and to feel that dismissal cases will be treated fairly, that the facts will be carefully considered, and that dismissal proceedings will not be initiated until informal corrective efforts have failed to secure the expected level of service.

Dismissal Procedures. From various standpoints, one of the most important areas of personnel dismissal is that of procedure. In discussing the transfer of personnel, it was noted previously that constitutional provisions have been widely invoked since the mid-twentieth century to restrain public school boards in separating or demoting professional personnel. Procedural due-process violations regarding the dismissal of both tenured and nontenured teachers have accounted for many reversals of local board action. Hence, the procedures by which tenured and nontenured teachers, as well as service personnel, are dismissed become all important. Initially, let us examine the anatomy of system procedures involved prior to dismissal, regardless of whether the individual under consideration is tenured or nontenured, and whether or not the grounds for dismissal are conclusive.

Prior Procedures. Table 15.3 has been included to outline the steps that a school system can take prior to the initiation of dismissal proceedings. The core of these activities relates to steps taken to prevent dismissal. The

Table 15.3. *Illustration of Procedures Employed Prior to Initiation of Personnel Dismissal Proceedings*

Activity	Timing
• Staff member for whom dismissal is being considered identified by unit administrator. Unit administrator reviews performance of individual with official next highest in authority and receives written permission to discuss problem with staff member before any action is initiated to give oral or written warning notices.	Usually three to six months before initiation of dismissal proceedings. State statutory requirements on timing must be adhered to.
• Reasons for dismissal reviewed by legal counsel.	Same as above.
• Action taken to prevent dismissal, including: performance warning interviews, written warning, internal search for alternate position possibilities, retraining, counseling, and disciplinary action.	Same as above.
• Careful documentation of all procedures initiated, and all relevant activities between system and individual prior to decision to initiate dismissal proceedings.	Throughout period prior to initiation of dismissal proceedings.
• If prior procedures are unsuccessful, case is reviewed by central administration; if warranted, case is submitted to board of education and legal counsel, with request to initiate dismissal proceedings.*	Within three weeks prior to initiation of dismissal proceedings.

* The reader may find the following reference useful in examining steps and timing of the termination process: Basil Robert Cuddihy, "How to Give Phased-Out Managers a New Start," *Harvard Business Review*, 52: 4 (July-August 1974), 61-69.

reasons for unsatisfactory performance are numerous, including misconduct, misplacement, underqualification, overqualification, interpersonal problems with peers or unit administrator, and so on. The system has full responsibility for taking action to prevent dismissal through retraining, rehabilitation, or righting conditions that create marginal performance. It may be useful to mention here that many of the steps advocated in the performance appraisal process (Chapter 9) are applicable as procedures prior to dismissal, especially the establishment of attainable objectives for staff members, performance reviews, and the development of individual performance plans to achieve objectives. In effect, the school system has a moral as well as an organizational responsibility to assist and to influence personnel in their efforts to succeed. The system is obligated also to adhere to the judicial due-process concept, including establishment and communication of reasonable rules, clarification of position and personnel requirements, the right of the system to maintain a disciplined, cooperative work force, and the right of the system to administer discipline when rules and regulations are violated.

Dismissal Proceedings. Should efforts to retrain, rehabilitate, or redirect the behavior of a staff member fail, and if the system has exhausted alternatives to enable the individual to reach a satisfactory level of performance, dismissal proceedings are initiated. Because there are various kinds of legal, contractual, union, and organizational controls governing dismissal, the activities related thereto must be viewed as highly formal in nature. This perception becomes apparent as we examine the suggested guidelines for school district policy on dismissal and nonreemployment prepared by Jacobsen, Sperry, and Jensen:

Suggested Guidelines for School District Policy on Dismissal and Nonreemployment

I. Definitions

Dismissal. As used in relation to the employment and removal of teachers, dismissal means the termination of employment during the contractual period of a nontenured teacher for cause, and the termination of employment of a tenured teacher for cause.

Nonrenewal of contract. The failure of a board to renew the contract of a nontenured teacher at the termination of the contractual period.

Teacher. Any certified employee of a school district, including but not limited to teachers, principals, counselors, supervisors, directors, and superintendents.

II. Power to dismiss

Only the board of education has the authority to dismiss teachers.

III. Causes for dismissal

Immorality; misconduct on the job; incompetency; gross insubordination; willful neglect of duty; drunkenness; and conviction of any crime involving moral depravity.

No teacher shall be dismissed for any of the foregoing causes until his dismissal is approved by a majority vote of the members of the school board.

IV. Dismissal procedures

A. Charges

Dismissal proceedings shall not be initiated against any teacher until a formal written, signed complaint is filed with the superintendent of schools. This complaint shall clearly state the cause of dismissal.

B. Notice

A teacher, either tenured or nontenured, against whom dismissal procedures have been initiated shall promptly receive in writing from the superintendent of schools a formal notice of the initiation of dismissal

procedures, a clear and precise statement of the reasons for dismissal, the name of the person initiating the complaint, and notice of the date, time, and place of a hearing.

In cases where tenured teachers are not to be employed beyond the present school year, notice of intention to dismiss will be given to the teacher in writing not later than 60 days before the end of the current academic year.

C. *Hearing*

Unless the teacher against whom dismissal actions have been initiated requests in writing to the superintendent of schools that a hearing not be held, a formal hearing will be conducted by the board anytime within one month of the date of notice to initiate dismissal proceedings, but not earlier than two weeks after notice of intention to dismiss. Unless the teacher requests a private hearing with the board, it will be open to the public. Witnesses will be questioned and cross-examined by both parties and testimony will be recorded.

V. *The decision*

After all of the evidence is in, the board of education will make the decision concerning dismissal.

VI. *Reemployment of Nontenured Teachers*

Formal notice of intent not to reemploy a nontenured teacher for the following year must be delivered to that teacher not later than March 1. The notice will include a clear and precise statement of reasons for non-reemployment. The board of education will hold a formal hearing within a period of one month from the date of delivery of notice only if the teacher requests a hearing.²³

LAYOFF AND DISABILITY

Two types of personnel separation that occur relatively infrequently in the public sector warrant attention in any personnel process relating to continuity. They are *layoff* and *physical disability*, both of which are initiated by the system.

Layoff in a school system may be defined as the separation of an employee from the payroll for an indefinite period of time, and generally includes these conditions: (1) the separation is temporary in nature; (2) the factors bringing about the layoff are beyond the control of the individual; (3) the layoff situation is not permanent; (4) the separation is usually confined to service personnel, such as maintenance, operation, transportation, and food service. Because many school service personnel

²³ Gene S. Jacobsen, David J. Sperry, and Boyd F. Jensen, "The Dismissal and Non-Reemployment of Teachers," *Journal of Law and Education*, 1:3 (July 1972), 416-443.

now have unions to represent their interest in job security, the union contract usually specifies certain personnel rights, including the order of layoff and the method of recall. Contracts often include provisions for accumulation of seniority rights, and the accumulation of layoff time counting toward vacation, sickness, and retirement benefits. Others make financial payment to the affected employee if advance notice of layoff is not given. Increasingly, either the system or the contract make clear the time limits for layoffs, the effects of layoffs on continuous service, and the effects on personnel benefit plans.

Even though school systems often decide unilaterally what criteria shall be employed in the layoff of unorganized personnel, a systematic approach for dealing with layoff problems is an organizational necessity. The procedure should be designed to resolve layoff issues equitably and efficiently, regardless of the presence or absence of a union. This is to say that, for personnel who may be affected by a layoff, the system needs to decide in advance and to communicate to personnel the conditions that will govern layoff duration, arrangements for benefits, continuous service, order of layoff, and recall.

Physical disability of personnel over a protracted period of time is another kind of separation problem relating to personnel continuity. The major problems connected with physical disability include: (1) deciding whether an individual is physically incapable of fulfilling his assignment because of illness or injury; (2) establishing the amount of time a disabled individual is kept on the payroll; (3) timing of the replacement; and (4) provisions for lessening the financial impact of physical disability. Again, system guidelines need to be established and communicated in advance to all personnel on the payroll so that indecision and inequity will not hold sway when disability problems arise.

When personnel suffer disabilities, handicaps, and long illnesses, numerous questions arise that should be referred to qualified professional medical personnel. Medical problems ranging from heart disease and cancer to full and partial physical immobility raise questions about whether an individual should return to work, and under what conditions. In other cases, malingering may be suspected. Consequently, the system's responsibility in matters of incapacity involve gathering available evidence, consultation with medical personnel, assessing the prospects for return and the level of performance that can be anticipated. Most disability problems are extremely sensitive, especially as to the manner in which the affected individual perceives the treatment and the sympathy accorded to him by the system. Terminal illnesses and permanent physical immobility are matters deserving careful attention, especially with regard to the timing of replacements. Collateral benefits are of financial assistance in disability cases, and it is likely that the social security system will move increasingly into the disability area. In addition, insurance plans

for long-term disability are now at hand and will probably become a standard feature of collateral benefit plans.

RETIREMENT OF PERSONNEL

Provision for the health and welfare of persons who withdraw from service because of age, years of service, or disability appears to be one of the values to which our society is irrevocably committed. The twentieth century has been witness to a series of commendable developments aimed at making life more satisfying and secure for the aged and infirm. For the nation as a whole these include enactment by Congress of the original Social Security Act of 1935 and subsequent amendments, passage of workmen's compensation laws, development of life insurance plans by private companies, and general emergence of pension and retirement systems.

During the twentieth century, efforts to provide improved benefits for educators have been vigorous; the consequence has been the emergence of a variety of plans covering retirement, life insurance, and medical expense protection. The necessity for providing retirement and related benefits for school personnel, then, is no longer at issue. The emerging pattern of federal, state, and local units of government uniting with the educator to establish suitable benefits is a heartening one, despite the existence of unsatisfactory features in some of the retirement systems. The major task ahead in benefit planning for educators appears to be maintenance and improvement of existing systems so that they are effective contributors to the objectives of education.

Objectives of Retirement Systems. One of the fundamental contributions of a retirement system is that it enables individual staff members to live in dignity, in satisfaction, and in security throughout the retirement period. The retirement system should help its members to realize, during the period of retirement, protection against economic and physical hazards, as well as a measure of independence which permits fulfillment of a wide variety of pursuits and ambitions. The system should do for the individual what he generally cannot, or will not, do for himself—set aside a portion of his income during his productive years and return it to him in the form of deferred salary and benefits when his period of service has ended.

The sense of security that the retirement system provides for the individual during his active years should also be emphasized. When the individual understands that the retirement system provides certain benefits to him in the event of disability, or to his survivors in the event of his death, some of the anxiety and uncertainty about the future course of events for him and his family will be eased.

Accordingly, the retirement plan should help to release more of the creative energy and efforts of school personnel, making possible a more effective daily and long-term performance in the service for which they are employed. In so doing, this should contribute to the improvement of the quality of education. This, in the final analysis, is its long-term goal. There is general acceptance of the idea that benefits provided by the retirement system are conducive to more effective personnel performance as well as to greater loyalty to the profession. Although there is no incontrovertible proof to support this assumption, it serves as an important supporting hypothesis in retirement planning.

A second consideration is the fact that public education is in keen competition with business, industry, government, and various other employers for highly competent and career-oriented manpower. If education expects to recruit and to retain its share of well-qualified personnel, it must be prepared to offer retirement and related benefits that are as attractive as those in other occupations. A sound retirement system often offsets some of the lure of positions with more attractive salaries but which are lacking in retirement benefits. In deciding upon a career, college men and women of today are prone to give extensive consideration to retirement benefits available in the several occupational fields. As improvements in the retirement systems for educators are made, possibilities for recruiting the ablest persons for careers of service in education will be enhanced.

A third advantage of a retirement system to public education is that it provides an orderly means by which the services of staff members may be terminated when they are no longer capable of rendering effective service. Without a retirement system, institutions are compelled, for humane reasons, to retain personnel even though they have outlived their usefulness. Thus the ability of the administration to effect an orderly retirement of personnel enables it to attract competent recruits and to make promotions. The broad intent of the retirement system, then, is aimed at increasing human satisfaction and staff competence, stability, and morale.

Personnel Administration and Retirement Plans. The school system has at least three responsibilities related to the retirement of school personnel. The first is to ensure that retirement systems are planned and administered so that they contribute to the attraction, retention, and satisfaction of school personnel. The second is to provide counseling services to school personnel prior to and after retirement. The third responsibility is to link retirement planning to staff improvement.

The school system, through its personnel officer, should take the initiative in reviewing existing retirement systems from the standpoint of the personnel function. Greenough and King suggest, for example, that the factors that differentiate a good retirement plan from a poor one are not

technical and complex. Three principal questions can be posed in the form of evaluative criteria:

- Are the retirement benefits, including those resulting from the employer's contributions, immediately and fully vested in the individual so that there is no loss of future benefits if he changes jobs?
- Is the contribution rate (defined contribution plans) or benefit formula (defined benefit plan) adequate? The take-home combination of Social Security and benefits from one or a series of retirement plans should add up to about two-thirds of take-home pay during the years preceding retirement.
- Does the retirement plan incorporate a method of helping to protect the annuity dollar against erosion in its purchasing power? A sound plan should be designed to help protect purchasing power during retirement under a variety of economic conditions—deflation, inflation, and periods of relative stability.²⁶

In addition to the problem of providing appropriate deferred compensation to school personnel through retirement, there are related issues that need constant attention in a changing society. These include retirement age, creditable service, reciprocity agreements among states, coordination of retirement systems with social security, and adequacy of current allowances for persons already retired. Hence, it is safe to conclude that every retirement system is currently confronted with both immediate and emerging problems; that personnel representatives from local school districts should take the initiative, along with unions and educational associations, to deal with retirement issues such as those noted.

Results of current practice indicate that preretirement orientation programs and postretirement relationships with retired employees are highly desirable. The personnel office typically provides information to potential retirants concerning the nature of retirement benefits and assists in processing applications for retirement. Other common and well-regarded services to retirants include individual counseling; distributing to them published materials such as the house organ; group meetings; and lectures. Counseling services include discussing with retirants what they will do in the postretirement period, where they will live, the state of their health—and what to do about it. The obligation of the school system to provide retirement planning sessions for its personnel is patent. Because the problems of retirement affect all personnel on the payroll of the school system, and because of the direct relationship of the increasing lifespan to retirement, the need for preparation of personnel for retirement is brought into bold relief.

²⁶ William C. Greenough and Francis P. King, "Economic Status of the Profession—Retirement Plans," *American Association of University Professors Bulletin*, Winter Issue (December 1968), 424.

The third organizational responsibility related to retirement is to develop flexible ways of moving people out of the system who, for a variety of reasons, are no longer capable of performing effectively or whose services are no longer needed. Consequently, the school system is interested in career-change programs for its personnel from two standpoints: (1) developing better methods of helping staff members make the adjustment from a working to a nonworking status; and (2) developing personnel approaches that will motivate people to separate themselves from the system both for their own welfare and for the good of the system.

With the emergence of federal, state, and local provisions conducive to early retirement of personnel, every school system will be confronted with retirement-related problems. These issues are illustrative of those retirement-related problems for which the system will have to make provision through the personnel function: how far the system should go in advising personnel about what to do after retirement; what tools can be developed to help individuals make retirement decisions without their feeling they are being told how to make up their minds; reconciling the trend toward compulsory retirement with the social need to prevent waste of human resources; whether to nudge personnel out or persuade them to remain; which system representatives should be trained to offer retirement counseling.

As organizations look beyond the contemporary scene, they are certain to anticipate the rapid evolution of social and personal values as well as of institutional approaches to adjusting to those changes. Retirement of personnel will be viewed organizationally through a wider lens than previously. The concept of personnel retirement will be construed as one element in the process of personnel continuity, wherein efforts are constantly in process to initiate and maintain plans for having the right people in the right positions at the right time and in the right numbers.²⁷

DEATH

Death of a member of the school staff involves the following minimum responsibilities for the personnel function in a school system: (1) the reporting responsibility; (2) the representation responsibility; (3) the fiscal responsibility; (4) the replacement responsibility.

²⁷ See, for example, Hope T. Ludlow, "Thinking About Retirement . . . Do We Know How?" *The Conference Board Record*, 10:4 (April 1973), 48-62; Raymond N. Kieft, "Financial Implications of Early Retirement," *College Management* (February 1974), 18; Cheryl Rosenbaum, "Psychological Harmony in Retirement," *National Retired Teachers Association Journal*, 26:123 (January-February 1975), 60-61.

Reporting Responsibility. It is generally the responsibility of the administrator in charge of the personnel function to notify relevant persons and organizations of termination in the case of the death of a staff member. These parties include the retirement system, the Social Security agency, union organization, the unit administrative personnel to whom the deceased was assigned, and the unit within the system responsible for personnel payroll and benefits. The reporting responsibility also involves preparation of information, usually in the form of a memorandum to the school staff, which includes whatever details are appropriate.

Representation Responsibility. Contact with the deceased employee's next of kin or estate is an essential personnel activity, an assignment usually delegated to a staff member who will represent the school system in providing whatever information, communications, or services are needed to expedite details relating to benefits, monies due, and incidental matters.

Fiscal Responsibility. Various fiscal problems arise in connection with the termination of any staff member, including salary monies due, retirement, and benefits. Although all financial procedures relating to termination are usually established in advance, legal questions may arise in connection with fiscal payments, especially when no beneficiary has been identified by the deceased.

Replacement Responsibility. Replacement of persons who are separated from the system, for whatever reason, must be viewed as an aspect of the manpower planning process and subjected to system guidelines for dealing with positions as they become vacant. Open positions needs to be scrutinized carefully from various angles. Initially, an analysis of the position is needed to determine whether a replacement is absolutely necessary, or whether the duties can be performed effectively by combining them with those of another position. If the decision is made to retain the position, the usual recruitment and selection processes will be invoked. If the position is administrative in nature, some unusual procedures may be employed. It has been said, for example, that the only time the central administration has a clear opportunity to make the changes or innovations needed in a unit of the system is when the unit head is separated from the organization. While this assumption is open to question, it is true that vacancy in a leadership position does make it possible for the system to identify the future direction it expects the unit to take, and to select the leadership capable of initiating and maintaining a course of action to achieve organizational expectations.

Summary

The concern of this chapter has been with organizational provisions designed to retain personnel and to foster continuity in personnel service. Analysis of the personnel continuity process indicates that there are two clusters of activities. One group of activities is concerned with the health, safety, and mobility of continuing personnel; the second group is focused upon members who are voluntarily or involuntarily leaving the system.

As outlined in this chapter, the process for maintaining continuity of personnel service stresses the need for a projected course of action based upon a series of decisions relating to what the plans for personnel continuity are expected to achieve; types of plans needed to realize the expectations; and program organization, administration, and control. The expectations or results which the system derives from plans for service continuity are both long- and short-range, and include improvement of the system's capability to perform its mission, of individual effectiveness, and of system physical, psychological, and organizational environments.

Personnel Information

Each of the ten personnel processes discussed in the preceding chapters of Parts III, IV, and V has been focused on activities related to the conduct of personnel administration in a school system. The intent of this chapter is to examine an eleventh personnel process, that which is concerned with the *flow of information* about human resources entering, working in, and leaving the system. Each of the processes previously discussed is designed to attract, retain, and improve the capacity of the system's human resources to achieve its established goals. The personnel information process considered in this chapter is conceived and implemented in order to integrate and to facilitate the operation of the ten personnel processes discussed in preceding chapters. In fact, the personnel information process makes possible the operation of the other personnel processes. Information provides for linkage among the personnel processes, and joins them with other parts of the system. This chapter is structured to deal first with background relating to a personnel information system, then with the personnel information structure, and subsequently with the personnel information process.

The Information System and the Personnel Function

Information is intimately bound up with planning, organizing, directing, and controlling a school system. It plays a critical role not only in maintaining the daily life of the organization, but in providing for its survival and growth.

It is true that modern school systems collect, store, and retrieve a wide variety of information to serve many purposes, but there are few administrators who can secure, at any time and in proper form, the quality of information needed for effective and efficient operation of the system. Almost without exception, today's school administrator encounters obstacles in planning and deciding because the information system has not been designed to provide the needed and relevant data. Moreover, the volume

of records kept in school systems has escalated to the point that the term *information overload* may well be justified.

Information needed to conduct the personnel function can be thought of as a component of the total information system of the school district. In total, it consists of a planned network of forms, reports, records, and documents. The nature and scope of the information needed to conduct the personnel function can be inferred from the outline of personnel information needs shown in Figure 16.1.

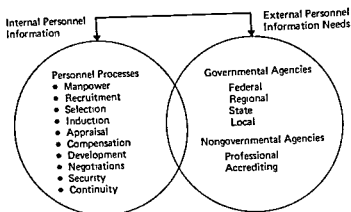


Figure 16.1. Illustration of internal and external personnel information needs.

It is worth noting at this point that as school districts grow in size and complexity, the demand for more and varied types of information increases. The necessity for creating, collecting, processing, storing, retrieving, disseminating, and integrating data to aid in the administration of a school system is hardly a matter for debate. It is becoming increasingly clear that sole dependence on the time-honored manual system of data processing is no longer appropriate if the school district plans to keep abreast of informational requirements of a modern educational institution. As more school administrative units become large enough to offer comprehensive educational programs, it is inevitable that improved data-processing methods will be employed to integrate information for all three major areas of the school system—instruction, funds and facilities, and personnel.

The substance of what has been discussed in the foregoing text is that the growth of school systems, attended by more pupils, with more personnel, larger payrolls, and expanded benefits, has caused the volume of essential records to soar. To cope with the problems of record keeping, and to make effective use of records which are collected and stored, a totally new approach to records management is in order. This need can be met through the application of technological improvements to the in-

formation system. Innovation can and should be geared not only to the improvement of the personnel function in general, but to the welfare of each individual in the employ of the school system. Considerable advances have been made in the use of electronic data-processing equipment to facilitate collection of data and dissemination of information for personnel decision-making. These systems make possible the storage and retrieval of highly detailed and organized personnel data useful in administering the personnel function. Although it is true that many personnel decisions cannot be programmed, it is reasonable to assume that personnel decision-making can be improved by data that are better organized, more accurate, more complete, and more rapidly reported.

Elements of a Personnel Information System

Every school system makes provisions for recording and reporting information about the people in its employ. This is done by means of forms, records, and reports. An employment application form, for example, records personal, educational, employment, and skills data about the applicant. Health records provide information about the physical status of the system's human resources. Annual reports are made to state education agencies on the certification of professional personnel. Until recently, few educational organizations conceived personnel information in terms of an information system. Rather, records and reports were viewed, for the most part, as administrative devices related to fulfillment of state education agency requirements. Information was seldom viewed as a crucial element in maintaining the stability and growth of the institution, to be used for allocating and managing scarce resources more efficiently, evaluating the consequences of educational strategies more effectively, and understanding, monitoring, and explaining educational programs more thoroughly. Within recent years, however, information has been construed as a system that includes the total communications network in an organization, ranging from face-to-face communication to computer-based information exchanges. Indeed, an information system may be viewed as a communications process in which information (input) is recorded, stored, and retrieved (processed) for decisions (output) on planning, operating, and controlling. This concept of an information system, shown graphically in Figure 16.2, includes *input*, *processor*, *feedback*, and *output* as its basic components. More importantly, the major purpose of a personnel information system is to assist school administrative personnel to solve problems and to make better decisions. In effect, the search for, processing, and dissemination of information is governed by a system to facilitate problem-solving and decision-making.

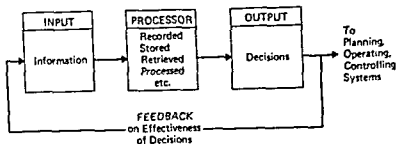


Figure 16.2. The relationship between an information system and organizational decisions. Source: Robert G. Murdick and Joel E. Ross, *Information Systems for Modern Management*, p. 293. © 1971. By permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

Input, as a component of the information system shown in Figure 16.2, includes data in the form of facts, concepts, or observations suitable for communication, interpretation, or processing by manual or automatic means. Sources of data include questionnaires, interviews, forms, books, documents, reports, and so on. Input data are usually unevaluated, concrete facts that are readily quantified, such as the number of professional, classified, or volunteer personnel in a school system. Information, on the other hand, refers to data that are properly organized and arranged so that their meaning can be understood.

Processing refers to the operations which classify, sort, summarize, calculate, and rearrange the data elements according to system rules, instructions, or procedures. Processing is designed to transform data into information. By way of illustration, data on the number of budget positions, the persons filling these positions, and the costs related thereto may be processed and transformed into information on future personnel estimates and costs.

An information system is designed to achieve some output, such as reports on salaries and wages, benefits, skills inventory, and personnel statistics. Such reports are the basis for personnel problem-solving and decision-making in the school organization.

Personnel Information Structure

It is inconceivable that any school system could operate efficiently, even for a short period of time, without acquiring and disseminating information about the human resources who enter, remain, and leave the organization. Consequently, every school system, like most organizations, is constantly confronted with information-communication problems which

center on such issues as keeping abreast of the quantity and quality of information needed, making information accessible to users when they need it, understanding and applying system information effectively, and communicating information to position-holders so that they are able to achieve the objectives for which they were employed.

Figure 16.3 has been included to portray to the reader the nature of the personnel information structure, including the sources of personnel information, the personnel information fields, the criteria which should govern the acquisition, analysis, synthesis, storage, retrieval, dissemination, integration, and communication of personnel information.

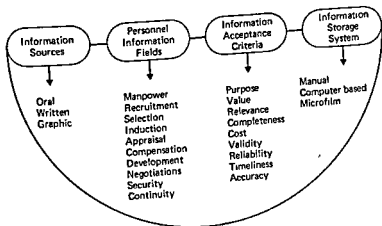


Figure 16.3. Model of the personnel information structure.

According to Figure 16.3, there are three sources—oral, written, and graphic—through which personnel information can be acquired. Oral information, for example, includes various kinds of personnel interviews, such as recruitment, appraisal, and exit interviews. Telephone reference checks, observations of the performance of a teacher in the classroom, a personnel counseling session, conversations among administrators about personnel, and a board discussion on personnel policy illustrate the nature and variety of oral sources of personnel information. Meltzer points out that much valuable personnel information is irretrievably lost because the potential for this kind of information is frequently overlooked. He notes that the advantages of recording oral communications for information retrieval are manifold:

- A permanent record of precisely what was said is available.
- The permanent record may be filed and retrieved at any time for reference, review, or analysis.

- The record reproduces not only exactly what was said, but how and under what circumstances.
- Misunderstandings are minimized, because usually they can be resolved immediately by the parties involved.
- Others not present at the time of the conversation or conference can be correctly informed of what was said, and in what tone of voice.
- If a request for information is involved, both the request and the reply can be recorded.
- More complete information can be given because of the relative ease with which matters can be explained orally compared with the laborious task of writing them down.
- The timeliness of the oral communication can be combined with the benefits of the written communication.
- Since oral communication is instantaneous and spontaneous, its honesty or lack of honesty can be gauged by listening to the replay.
- Rehearing the exact conversation not only reminds the listener of the words spoken, but often evokes the emotions of the time as well. This is extremely beneficial when analysis of the material is the purpose of the review.¹

Beyond the medium of sound recording are written sources of information that comprise the major portion of the personnel-data base in a school system. Basic to written sources of personnel information are such elements as personnel handbooks, personnel policy manuals, bulletins, memos, annual and periodic reports, circulars, computer printouts, and the well-known, and extremely useful, personnel forms, the accumulation of which represent the written personnel record system.

Graphic sources of personnel information are used less extensively than oral or written types, but they do exist in such forms as photographs, graphs, charts, tables, slides, transparencies, motion pictures, film strips, and televised information. On occasion, the use of graphic sources of personnel information can be extremely valuable. The televising of classroom teaching performances has proven, for example, to be extremely valuable in the appraisal and development of classroom teachers.

Personnel Processes and Information Fields

In the discussion that follows, each of the ten personnel processes shown in Figure 16.3 will be construed as a *personnel information field*. The context will focus upon the nature and significance of information in each of the personnel processes. In analyzing the informational needs of

¹ Morton F. Meltzer, *The Information Imperative* (New York: American Management Association, Inc., 1971), 32-33.

each, it should be noted that personnel information may be viewed as either programmed or nonprogrammed. In other words, certain data can be computerized (as illustrated in Table 16.1), but other information, that of a conceptual, hypothetical, judgmental nature, is not readily amenable to computer programming. Both types of information will be discussed below in relation to the personnel processes listed in Figure 16.3.

Table 16.1. *Illustration of Programmed and Nonprogrammed Personnel Information*

<i>Type 1</i> <i>Programmed Information</i>		<i>Type 2</i> <i>Nonprogrammed Information</i>
Payroll	Resumé	Personnel policies, procedures
Benefits	Certification	Performance appraisals
Attendance	Positions	Personnel motivation
Retirement	Master files	Personnel actions
Grievances	Tax reports	Organization structure
Skills inventory	Turnover	Personnel-planning premises
Personnel budget	Leaves	Strategies, supporting plans
	Compensation profile	
	Personnel statistics	

MANPOWER-PLANNING PROCESS

The manpower-planning process (discussed in Chapter 4 and illustrated in Figure 4.2) includes such key activities as the development of manpower assumptions, projection of structure and manpower requirements, preparation of a manpower inventory, forecasts of changes in present manpower, and development of a manpower plan. These activities focus on estimating the difference between the current staff and its estimated future size, and deciding which alternatives are most appropriate to meet the manpower requirements. Essential to the effective performance of these two activities is an information system for classifying and locating personnel within the school organization. As shown in Table 16.2, there are at least seven main bodies of data which comprise the information base for manpower planning. Examination of the information base for manpower planning outlined in Table 16.2 makes it apparent that: (1) the breadth and depth of the input data required are more extensive than those in the other personnel processes; (2) the items of information are capable of being stored and retrieved in a computer-based information system; and (3) the data can be designed to serve a variety of manpower purposes, including identification of needed educational and developmental experiences, determination of recruitment

Table 16.2. *Illustration of Information Base for Manpower Planning*

<i>Bodies of Data</i>	<i>Information Components</i>
Personal	Age, sex, race, citizenship, military status, handicaps, social security number, marital status, dependents.
Payroll	Date of hire, classification, salary range, benefits, last year's total earnings, next salary-review date, retirement number, date of last increase.
Education	Educational level, major and minor fields of study, standing, honors, specialties.
Experience	Previous employment, length, type, time, level of experience.
Skills	Data about each staff member's skills, abilities, work preference, achievements.
Appraisal and Promotions	Performance-appraisal record, advancement potential, promotions.
Deployment of Personnel, by Positions	Number and type of positions in school system by unit, present position-holders.
Internal Mobility of Personnel	Accessions, promotions, transfers, demotions, retirement, death, resignation, leaves, dismissal.

needs, planning of individual careers, forecast of internal personnel movements and turnover, projection of the organization structure, and preparation of personnel reports.

RECRUITMENT PROCESS

Even in those schools having an effectively managed personnel function, occasions will arise that require recruitment of personnel from the outside to fill certain positions within the organization. The recruitment process, when properly managed, forecasts personnel needs and skills well in advance of the time they are needed, and initiates those activities which result in the right people being available at the right time and in the right numbers. If the information system is properly designed it will make available such items of data as: (1) the positions to be filled; and (2) position characteristics, including title, location, salary range, classification, responsibilities, key duties, organizational relationships, level of education and experience needed, and additional information about special characteristics of the position. Such information is often included in the personnel requisition form. The position guide contains information on both person and position specifications. As explained in the discussion of the recruitment process (Chapter 6), two kinds of information are essential: (1) full information about the position for which personnel will be recruited, and (2) full information about each applicant for the position.

SELECTION PROCESS

The selection process, as noted earlier, is perhaps the most vital of all of the personnel processes because it is the key activity wherein decisions are made about which personnel will fill positions that become vacant. This process involves a position-matching plan designed to link available personnel with the position requirements. If a computer-based information system is employed, information on personnel is stored, information that describes certain characteristics of every member of the school staff. When the personnel search is conducted, the computer matches information on personnel and position requirements. Whether the personnel search is made manually or mechanically, the personnel information system should provide accurate summaries of qualified candidates in sufficient detail to facilitate matching persons and positions, and to enhance the use of manpower within the system through promotion and transfer. The selection interviews, for example, are usually structured around information relating to the work history of the candidate, education and training, early home background, present social adjustment, mental ability, motivation, and maturity. For those applicants selected for employment in the system, the foregoing information becomes an important part of the permanent files. Other uses of applicant information include development programs based upon shortcomings revealed in the selection process; follow-up studies on interview ratings and actual performance; and evaluation of the selection process and the personnel involved in its operation (see Figure 7.5).

INDUCTION PROCESS

The reader will recall (Chapter 8) that the primary goal of the induction process is to assist the staff member to adjust quickly and harmoniously to a productive relationship with the school system. A variety of information is needed to facilitate the best possible adjustment to the community, the school system, the position, and the system personnel. In Chapter 8, the stress was on the importance of information on the leadership style of the unit administrator who will supervise the new staff member, the followership style of the new staff member, and the position situation in assuring appropriate placement of personnel. Those elements, it was noted, are crucial to the selection and placement of personnel.

During the induction process the new staff member not only provides the system with facts about himself; he receives a great deal of information in return, including system literature, an employee manual, compensation and benefits schedules, as well as position guides and written statements of system expectations. If the informational aspects of the in-

duction process are carefully designed, they should provide the new-comer with all of the information he needs to adjust to the position role and to the system's internal and external environment.

APPRAISAL PROCESS

The assessment of human resources in the school system should be directed toward the achievement of meaningful personal, position, unit, and system goals. A comprehensive performance appraisal program involves tools used in a variety of procedures and contexts, including observation, self-analysis, personality measurements, performance testing, and interface appraisals. The information derived from application of the foregoing tools requires of the user considerable skill. Figure 16.4 illustrates an outline of an information structure designed to maintain and improve the performance appraisal process for school personnel. Some of the information listed in Figure 16.4 will be part of the appraisee's permanent file. Other information will be prepared by the system in the form of organizational purposes, unit objectives, and position guides.

An examination of Figure 16.4 also indicates that a wide variety of information is needed by the appraiser on every subordinate for whom he is responsible. One of the assumptions on which the appraisal process is based is that helping individuals to improve their performance involves collecting, processing, storing, retrieving, and utilizing various personnel data.

As illustrated in Figure 16.4, information on the results of the performance-appraisal process is derived largely from records and reports relating to the preappraisal planning conference, the actual performance appraisal, and the individual development record. Illustrations of these have been included in Chapter 9 of this text. The kinds of information the organization needs to assess results of the performance-appraisal process may be stated in question form.

- Is there evidence to indicate that the subordinate has made progress in achieving position expectations?
- What is the potential of the individual for other assignments in the system?
- Are the performance measures employed valid?
- Are the support plans for the appraisal system effective?

Information as to whether performance is proceeding according to plan has various operational implications, especially with respect to the personnel function. The links between information on the results of individual performance and activities of the personnel function, such as manpower

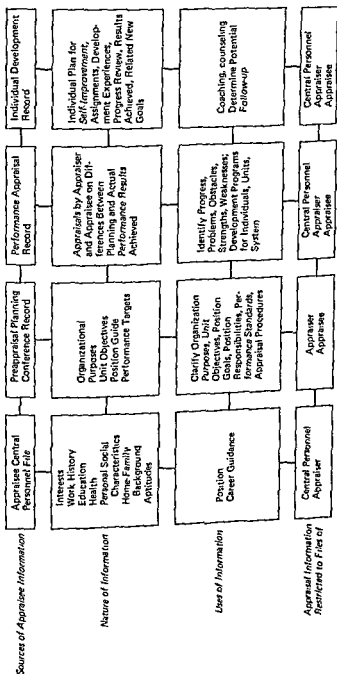


Figure 16.4. Information structure to maintain and improve performance appraisal process.

planning, compensation, recruitment, selection, appraisal, and development, are self-evident.

Those in charge need to know not only whether the performance appraisal process is actually helping to improve the performance of individual employees; they need to have information about the effects of the performance appraisal process on the organization. The following questions indicate that concern:

- Is the performance-appraisal process helping individual units within the school system, as well as the school system itself, to achieve expectations established for each?
- Does each of the components in the performance-appraisal system (people, processes, plans) contribute to improved realization of system goals?

The foregoing questions, it should be noted, are concerned with information that focuses upon the results of the appraisal system as a whole. This approach is macroscopic in that it views performance appraisal at large, as a subsystem of the total personnel function. The results of performance appraisal, difficult as they are to determine, are essential to decisions that need to be made relative to maintaining and improving the performance-appraisal plan. There is absolutely no point in the maintenance of a performance-appraisal plan if it does not do what it has been designed to do. If the plan is not helping to improve performance, if it is not contributing to the larger aims of the organization, remedial action is in order—to make happen that which the organization wants to happen.

COMPENSATION

Information on the compensation the school system provides for staff members is needed for a multitude of purposes. In addition to the compensation information required for the traditional payroll, accounting, auditing, and reporting records, there are requests for information from unions, state, federal, and local government agencies.

The administration of compensation in a school system involves planning, implementation, and control activities. Each of these functions involves internal (system) personnel and external (union, government, society) relationships. Each requires an information base to plan annual and long-range budgets, to assure internal and external equity in compensating personnel, and to administer individual pay actions to implement promotion, transfer, recognition, termination, and reorganization of duties. As noted in Chapter 11, the compensation process aims for ra-

tional of design as well as fairness of execution. Without adequate information, excellence in planning, deciding, administering, and explaining compensation plans and procedures will be impossible to attain.

DEVELOPMENT PROCESS

Improving the performance of people in a school system is a never-ending process. Because the focus of the organization is on performance, for both the individual position-holder as well as for the entire staff, the establishment and attainment of high performance standards is a requirement of high priority. Central to improving the achievement of the individual or the group is feedback information on performance. If the individual is to initiate and to exercise control over his self-improvement, he must have continuous information to compare his performance against position standards, and to take appropriate corrective action. Hence, the motivation of members of an organization involves the use of feedback information. Carefully controlled studies have shown that a number of characteristics must be present in order for feedback to be useful to the position-holder. The information feedback is useful when: (1) it is precise; (2) it is timely; (3) the individual has the ability to correct his performance; (4) the source of the feedback is appropriate; (5) the individual has the incentive to improve; and (6) the feedback is objective.² The real value of feedback information is that it provides the individual position-holder with timely, relevant information which focuses on his role and which enables him to measure and to direct himself.

Information relating to the development of personnel is focused also upon opportunities for people in the system to enhance their career plans. The continuing skills inventory, for example, can be matched against the system's need for replacements and for improved skills. The personnel mobility patterns provide information relative to the developmental needs of the system as it pertains to individuals who should be transferred, promoted, given extended education, or provided with opportunities for experiences beyond their current assignment. Information is basic to the planning of both promotion paths and career movements, especially in those positions within the administrative structure. In sum, if development is focused upon people, then people must be furnished with information that will enable them to measure, to plan, and to control their career movements.

² Herbert H. Meyer, "Feedback That Spurs Performance," in Alfred J. Morrow, Ed., *The Failure of Success* (New York: American Management Association, 1972), 199-216.

THE NEGOTIATIONS PROCESS

The observation was made in Chapter 14 that the collective negotiations process involved two basic activities: (1) contract negotiation and (2) contract administration. Each phase of the process requires a wide variety of information, much of which is not computer-based. Union preparations for negotiations, for example, include contract analysis, review of grievances and arbitration decisions, contract comparison with other negotiated agreements, collection of information on economic and noneconomic issues to be considered, and advice from union membership on demands to be submitted. Preparation for negotiation by the school system includes recording of experiences in working with the agreement, analyzing grievance and arbitration records, reviewing other contracts, analyzing economic and noneconomic information on local, regional, and national trends in contractual elements, and examining contract violations.

Because a factual basis is an essential requirement for mature collective negotiations, the school system needs a systematic approach to the collection and communication of negotiations data. This includes a history of the current contract; the demands of both parties; annual budgets; wage, salary, and cost benefit projections; minutes of negotiations sessions; comprehensive information on salaries, wages, and benefits in relation to salary levels or position classification; economic surveys, proposals and counterproposals; and external data on the local and national cost-of-living index.

Factual information is also needed if and when a third party becomes involved in the negotiations process. Although the knowledgeability and skill of mediators is important to conflict-resolution, the availability of up-to-date, precise, and relevant information is equally critical. If public negotiations are to be based on the assumption that government service, whatever its nature, must continue to be performed without interruption, a continuous flow of information will be required to satisfy the union, the system, and the public interest.

SECURITY PROCESS

If democratic principles are to have real meaning for the members of the school system, the organization must take steps to secure and promote them through policies, plans, procedures, and processes employed to achieve institutional goals. If the belief is held that the needs, rights, and interests of system participants should be respected, promoted, and protected, then the development and communication of information relating to personnel rights and responsibilities is an exceedingly important per-

sonnel function. Three types of communication about personnel security are indispensable: (1) translation of system goals into clearly stated written policies, plans, and procedures relating to fair treatment, participation, adjustment of grievances, position and personal security, and academic freedom; (2) transmission of this information to system members, both in the central administration, and in attendance units; and (3) feedback of information on the extent to which the goals relating to personnel security are being achieved, and on the extent to which they require modification to achieve system expectations. The movement of the information just referred to is sharply focused on the enhancement of the individual personality—the system's highest value.

CONTINUITY PROCESS

The process of staffing a school system involves numerous and varied activities. People are recruited, selected, inducted, placed, appraised, compensated, developed, promoted, transferred, demoted, separated, and retired. Without adequate coordination to keep positions staffed with people who have the skills, knowledge, experience, and other qualifications required to perform them effectively, a great deal of time, money, and effort can be wasted on unnecessary, inappropriate, or ineffective activities. If one of the goals of the system is to have the right number of people in the right positions at the right time, along with the right conceptual, interpersonal, and technical skills, the key elements in the attainment of this goal should be the quality and quantity of information needed to make the process effective. Some of the information needed in the continuity process, it should be noted, overlaps with information employed in other processes, including manpower, recruitment, selection, induction, appraisal, and development. The focus of the information should be on finding better ways: (1) to fill specific positions with people who have matching skills to perform the roles effectively; (2) to encourage the growth and development of all personnel on the payroll, (3) to separate from the system those individuals who cannot or will not perform effectively; (4) to minimize personnel turnover by designing positions that enable the holder to experience a sense of satisfaction and achievement; and (5) to keep the system staffed with a continuing supply of competent, imaginative, and well-qualified personnel.

The Personnel Information Process

Once the school system has defined the objectives of the personnel information system, determined what kind of information is needed, re-

viewed the information sources and acceptance criteria as outlined in Figure 16.3, and has allocated responsibilities for administering the various activities related to the system, the actual process of acquiring and using personnel information can be initiated. This process, as outlined in Figure 16.5, consists of eight key activities, including creating, collection, refinement, storage, retrieval, dissemination, integration, and communication. In the text following, each of the key activities will be examined in terms of its relationship to the personnel information process.

IDENTIFICATION OF INFORMATION

The initial activity in the personnel information process, as depicted in Figure 16.5, is the identification of information. Its primary focus is on decisions by the central administration about what information is needed to achieve the goals of the system, the purposes for which the information

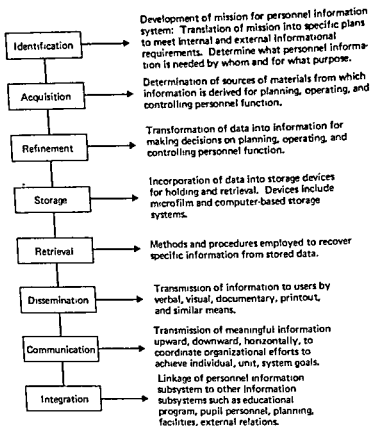


Figure 16.5. Model of the personnel information process.

is needed, who will use the information, and what means shall be employed to gather, store, retrieve, and communicate it most effectively and efficiently. Consequently, the initial act in the information process calls for a conceptualization by the central administration of the kind of personnel information system it plans to operate in order to influence personnel behavior in ways conducive to goal attainment. This perspective is outlined in Figure 16.6, which construes the purposes of all information to be mission oriented. The administration of a school system, as viewed in Figure 16.5, links information to administrative action of various kinds. Some of the information will indicate what has happened (past); some will be focused upon what is happening (present); and some will be needed to plan what ought to happen in the system (future). All will be oriented toward influencing the behavior of people to satisfy both individual and system needs.

ACQUISITION OF INFORMATION

The acquisition of information, as noted in the personnel information process shown in Figure 16.5, follows plans for its identification, and is defined by the objectives of the school system as well as the user's needs, including those of the administrators, staff, board, clients, and public. Acquisition of information in a school system includes the identification, selection, development, and purchase of source material. Source material, as noted previously, encompasses many forms of oral, written, and graphic information. The acquisition of personnel information includes a network of forms, records, and reports. A *form* may be defined as a standardized method of recording data, as illustrated by a personnel application form. *Records* are the accumulation and organization of information which is regarded as of more than temporary significance. *Reports* utilize records to communicate information. Other sources of personnel

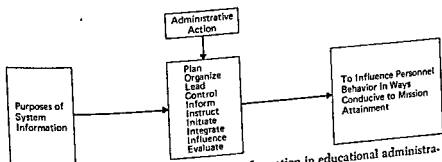


Figure 16.6. Goal-oriented purposes of information in educational administration.

information include letters, profiles, studies, external and internal personnel data, and documents of various types.

As suggested in Figure 16.3, the acquisition of information should be governed by criteria, such as *purpose, value, relevance, completeness, cost, validity, reliability, timeliness, and accuracy*. Timeliness, or the currency of data, is an important criterion in determining whether information should be acquired. A personnel roster is of little use to the payroll department if it is not kept current. Information files on recruitable talent, promotable personnel, and personnel who have reached performance plateaus are useless if they have not been updated. The use of information on collateral benefits for administrative personnel in collective negotiations sessions will be determined, for example, by its timeliness and by the aforementioned criteria. Up-to-date information is expensive to maintain. Though always desirable, it must be judged in terms of the cost-benefits yielded. Certain kinds of information cost more money than others to obtain, and their worth must be judged in terms of the benefit to the system.

REFINEMENT

Most data acquired by the school system needs to be refined, some to a greater and some to a lesser degree, before it is stored for usage. Refinement includes checking the data for accuracy. Information on paychecks, retirement contributions, and certification of personnel, for example, must be precise. Complete and accurate information concerning the skill of every staff member is essential in order to conduct the manpower planning process effectively. On the other hand, any collected data should include only those items the system really needs, for the cost of collecting and storing information is always high. Other forms of data refinement include the editing of all forms of information entering the system; the elimination of redundant information or overlapping information-gathering efforts; and the incorporation of error checks into the information system in order to call attention to missing or erroneous data. In effect, the purpose of refining information is to ensure that it meets the acceptance criteria mentioned earlier. Refinement is conceived as a kind of screen to separate useful from useless information; to code and prepare acceptable information for entrance into the information system; to ensure that the information is valid and reliable; and to bring together one form of data with another, which, when combined, will create new information, and perhaps new perspectives, not possible before the information elements were related.

The concept of information refinement includes many and varied ac-

tivities aimed at acquiring and storing data in forms that enhance the work of the system. Refinement may include editing information inputs (such as payroll verification), combining quarterly performance-appraisal reports for a performance profile, employing statistical techniques for meaningful summary descriptions of raw data, and drawing inferences from personnel data under conditions characterized by uncertainty. Refinement of information helps to make complex system phenomena more understandable, and in some cases enables the system to achieve a new level of understanding about human problems in the system.

STORAGE

After personnel information has been acquired and refined by the system, arrangements must be made to store it for future use. As shown in Figure 16.3, information can be stored in manual, microform, or computer-based systems. Manual storage systems include direct files, inverted files, optical coincidence cards, edge-notched cards, and punched cards. Microform storage systems include roll film, microfilm jackets, aperture cards, microfiche, and opaque microcards. A computer-based storage system is one that processes data by electronic machines quickly, accurately, and automatically. Data processed by a computer is stored on memory devices such as magnetic tapes, and must be programmed—meaning that the computer must be instructed as to what operations are to be performed and in what sequence.³

The decision as to which system or which combination of systems will be used to store personnel information will depend upon a variety of factors, including the size of the school staff, the uses to be made of the information, the availability of fiscal resources, and whether there are competent staff personnel to design and operate the system. Because the primary function of a personnel information system is to provide information when it is needed, where it is needed, and in the form in which it is needed, the storage system should be designed to enhance this function.

Generally speaking, manual and microform storage systems are used to record historical information, whereas a mechanized system should deal with current information. Information on the current status of personnel may best be stored in a mechanized system; the history of the performance of each individual is appropriately recorded in a manual sys-

³ The storage systems referred to here are based upon, and discussed in detail in, Morton F. Meltzer, op. cit., Chaps. 7-9; also Khateeb M. Hussain, *Development of Information Systems for Education* (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1973), Part Four.

tem. The point of this is that mechanized storage of certain kinds of information, such as the historical performance profile of an individual staff member, would be prohibitive from a cost standpoint.

RETRIEVAL

Information retrieval, one of the steps in the personnel information process outlined in Figure 16.5, refers to the methods and procedures for recovering specific information from stored data. It goes without saying that information users should be able to retrieve stored information readily and in the form in which it is needed. Such is not always the case, for information that is stored manually, for example, is sometimes irretrievable simply because the procedures employed in storing it have been faulty. Information which is not properly classified, indexed, and coded will create problems when retrieval queries are posed. Consequently, one of the requirements for operating an effective information storage-retrieval system is the training of staff personnel in procedures for classifying, indexing, and coding incoming material that is constantly being generated.

Retrieval begins with a *search strategy* designed to locate information to solve the problem posed by the user. The search includes an evaluation of stored information to determine its relevance to the problems posed by the user. The search is also conducted with consideration for the breadth and depth of information needed. The search for information involves time—which also involves the expenditure of human and fiscal resources. The significance of the foregoing observation is that there are various constraints affecting the search for personnel information, including time, funds, and personnel. Because information is truly the substance which holds an organization together and keeps it viable, the design of the storage-retrieval system and the training of personnel to operate it efficiently and effectively is a matter of importance to the administrative team.

DISSEMINATION

Dissemination is defined as the distribution of information (especially from a gathering or storage point, such as an information center) to individuals within and agencies outside of the school system. Certain kinds of personnel information will be stored in each of the attendance units. Most will be stored in various offices of the central administration, especially those data vital to the operation of the personnel function. Some of the more important of these are listed below. An examination of

these examples provides several observations on the dissemination of information:

Personnel records
 Personnel forms
 Payroll registers
 Retirement plans
 Personnel rosters
 Personnel inventory
 Income tax computations
 Salary schedules
 Workmen's compensation
 Wage rates
 Leaves of absence
 Vacation eligibility
 Insurance coverage
 Hospital contract numbers
 Position classification

Position code
 Education of personnel
 Exit-entrance dates
 Appraisal reviews
 Manpower plans
 Personnel budget
 Personnel forecast
 Absenteeism
 Turnover
 Recruitment files
 Selection data
 Personnel development
 Collective negotiations
 Tenure
 Separations

- Controls need to be established within the system as to who is authorized to disseminate and to receive personnel information.
- There are many forms of dissemination, ranging from a telephone call to a computer printout. Whether the information is disseminated verbally, visually, or in hard copy form, procedures are necessary to fit the form to the user's needs.
- Dissemination involves reproduction services of some kind, especially in view of the traditional practice of forbidding the circulation of original file copies. Some information must be *copied* on machines purchased for that purpose; other material must be *duplicated*, a process usually employed when multiple copies of information are to be reproduced and disseminated. Again, procedures are usually established relative to which information is duplicated and copied, and to whom and to what extent it is to be disseminated.
- The increasing production and the demand for personnel information in school systems has reached the point where consideration must be given in the central administration to the delegation of the personnel-information function to a single individual. This individual is generally responsible for designing the personnel information system and coordinating its operation.

COMMUNICATION

Observers of information systems are generally on record that there is a difference between information and communication. Drucker has ob-

served, for example, that "communication and information are different and indeed largely opposite—yet interdependent."⁴ The subordinate may receive a periodic report on the appraisal of his performance, but if there is an absence of communication, the information may have no meaning for him whatsoever. This is true especially if there has been no prior communication between the subordinate and his supervisor about the system's expectations for the position and its occupant, about how the incumbent views the role, his problems in performing it, and his views on how it ought to be performed.

It can be readily seen that personnel performance and organizational communication are closely related. The individual's understanding of what the organization expects him to accomplish and how, how it plans to achieve its aims, and whether it considers his work satisfactory all depend upon the efficiency of the communication network.

It is generally agreed that within an organization there are many instances of failure to communicate, and these result in unsatisfactory individual performance, misunderstandings, resignations, lack of concern for systemwide goals, and a general decline in coordinated behavior. In one sense, communication is an organization's peripheral nervous system; without it, organizational behavior is haphazard.

The work of organizations is carried on largely through oral and written forms of communication. Communication, from an organizational standpoint, should influence behavior in ways conducive to attaining goals. Failure to communicate adequately and effectively may cause behavior patterns conducive neither to the purposes of the organization nor to the attainment of satisfactions by the individual. Complete breakdown of communication leads inevitably to failure of the organization.

The direction of organizational communication may be downward, upward, or horizontal. Downward communication usually parallels the line of responsibility and is essential to the continuity of organizational life. Official educational policies, programs, standards, definitions of assignments, and schedules of various kinds are examples of information transmitted in this manner. Upward communication (feedback) indicates the transmission of information from the subordinate through the administrative hierarchy. There are several important reasons why the upward flow of information should be encouraged. The first is in order to determine the extent to which the goals of the school system are being attained, the problems which arise in the conduct of the work of the school, and the corrective action that is needed. A second reason for encouraging upward flow of communication, and one being examined with increasing frequency, is to determine whether organization arrangements are conducive

⁴ Peter F. Drucker, *Management: Tasks, Responsibilities, Practices* (New York: Harper & Row, Publishers, Inc. 1974), 493.

to personnel cooperation. By such means as grievance machinery, work-shops, small group conferences, surveys, faculty meetings, and committee work, greater emphasis is being placed on the flow of information from the bottom to the top of the organization structure. For purposes of coordination, horizontal communication between personnel at the same operating level, such as those who perform staff functions, is necessary.

Informal communication is also a characteristic of the process by which information is transmitted and received within an organization. The work that is carried on in a single school building through interpersonal relationships requires communication. Informal personal contact between teachers, principals, supervisors, and custodians is an important means by which formal communications are analyzed, interpreted, and disseminated, and through which personnel are motivated. The "grapevine" is an important element in informal communication and one which tends to operate to the disadvantage of organizations in the absence of proper formal communication. A central task of administration is to integrate the formal and informal systems of communication in order to promote the cooperation between the individual and the organization so essential to achieving organizational aims and to satisfying individual needs.

Personnel cooperation can be furthered when the factors which inhibit effective communication are understood and when efforts are made to minimize persistent barriers. These efforts include

- Preventing downward channels of communication from being overloaded.
- Encouraging the free flow of ideas and information in all directions.
- Developing facility among members of the administrative staff in overcoming the psychological barriers to effective communication.
- Planning programs to help members of the administrative staff with some of the fundamental problems of communication with which they are confronted.

Administrators responsible for any of the various facets of the personnel function in a school system have a vital interest in improving both formal communication networks and personal communication between superiors and subordinates. The formal communication network establishes procedures for getting information from one part of the system to the other, including how information is transmitted, who is authorized to send it, and the form in which it is to be transmitted and recorded. Standard procedures are a part of the formal network often employed by organizations to transmit routine requests, information, directions, and orders. Forms for recording pupil and teacher attendance, employment of substitute service, leaves of absence requests, and grievance reports are illustrations of information usually transmitted through standard procedures.

It may be useful to consider what the need for effective communication

means for those connected with the personnel function. A great deal of personnel information is needed by each individual employed in a school system. An individual's information needs include how his compensation is determined; the collateral benefits to which he is entitled; the way he proceeds to register a grievance, apply for a leave of absence, report personal illness, and secure information on retirement; the degree to which he understands the concept of and practices relating to academic freedom; the appraisal of his performance; and the nature of the system plans for his continuing education. Part of the task of the personnel function is to develop multiple channels of communication to create wide understanding by the system members of personnel policies, procedures, processes, and programs. An effective communications network, insofar as the personnel function is concerned, is one that employs multiple channels, both formal and informal, to assist the individual in adjusting to his work and in deriving satisfaction from it, and to develop voluntary cooperation that will facilitate the attainment of system goals.

When we speak of face-to-face communication between people in a school system, say between principal and teacher, we are talking about two-way personal communication. The type of communication envisioned here is not standardized. It is exemplified by the face-to-face communication that takes place when the classroom teacher's performance is reviewed by the principal. Subject to discussion may be the planning for teaching, motivating pupils, developing classroom climate, managing the classroom, interacting with pupils, and evaluating learning. Facts and feelings about the performance are conveyed, feedback² may be derived about the performance, and each may convey to the other genuine understanding about what the organization expects from the individual. In short, verbal communication has considerable advantage over the written kinds in helping to improve personal relations between superiors and subordinates. Moreover, face-to-face communication makes possible immediate feedback to the organization on the validity of personnel plans, procedures, and processes.

INTEGRATION

The point was made earlier that information performs a linking function among the personnel processes as well as interacting with other parts of the organization. The school system is conceived as an organized combination of elements including mission, input, output, process, structure, and control which are designed to form a unitary whole. Systems are di-

² Feedback is the response of a receiver to a message, which enables the sender to structure his next message.

vided into subsystems (individual schools) and homogeneous functions (planning, curricula, logistics, personnel, and external relations). Each subsystem needs information unique to itself, but there is some information common to all subsystems, some of which is needed primarily between or among certain subsystems. Figure 16.7 has been included to illustrate the concept of unification of subsystems within a system through information. The five major functions of a school system, shown in Figure 16.7, are linked to each other and to the system as a whole by means of an integrated information system.

The concept of integration, as shown in Figure 16.7, may be illustrated by reference to the personnel function and such subfunctions as manpower planning, recruitment, selection, compensation, appraisal, and so forth. The recruitment, selection, and induction activities cannot be performed effectively without information on manpower planning. Hence, there is an interdependence of personnel activities within the personnel function. The need for integration among major functions becomes readily apparent, for example, when newly employed personnel are put on the system payroll. In this case the personnel and logistics functions are linked through information provided by one system to another.

School systems, like other organizations, are comprised of purposes, people, plans, tasks, technology, and a structure for fitting its parts together. The functioning of the system is dependent on the relationship among these elements. Each element has an impact on the other elements and thus on the whole. The interaction of the various parts to achieve the broad purposes of the system is effected through an integrated information system.

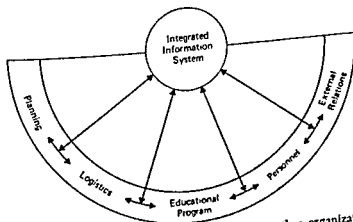


Figure 16.7. Personnel subsystem interactions with other organization subsystems.

tion system. Information makes it possible to link individualized but coordinated action plans for positions, sections, departments, units, and schools into the overall mission of the school system.

Summary

Information is inextricably linked to planning, organizing, leading, and controlling a school system. Our purpose, in this chapter, has been to examine the personnel information process concerned with the flow of information about human resources entering, working in, and leaving the system.

Information needed to conduct the personnel function can be thought of as a component of the total information system of a school system, ranging from face-to-face communication to computer-based information exchanges.

The major purpose of a personnel information system is to assist system members to solve problems and to make better decisions. In effect, the search for information, and the processing and dissemination of information, should be governed by a system to facilitate problem-solving and decision-making.

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Behavioral Theory of Labor Negotiations, 392

Benefits (*see* Collateral benefits; Noneconomic benefits)

Bennis, Warren G., 238-39

Bibliography, 505-13

Biddle, Bruce J., 234

Bloom, Benjamin S., 115

Board(s) of education

development, 297

induction, 215

programs, 297

recruitment, 148-49

Bolton, Dale, 179, 180, 190, 248

Boulding, Kenneth, 382

Bower, Eli M., 454

Broadbelt, Samuel, 454

Budgeting

advantages, 77

and budgets, 76-80

development, 278-80

personnel policy, 76-80

use in personnel planning, 76-80

Burack, Elmer H., 133

C

Calhoun, Richard P., 392

Candidates

academic and cultural background, 182

appraisal, 193

characteristics, 181

intelligence, 183

personal characteristics, 183

physical characteristics, 183

professional qualifications, 184

Carlisle, Howard M., 25

Carver, Fred D., 10, 101

Castetter, William B., 248

Centralization of personnel function, 38-41

Certification audit, 197

Chief executive, 149-50, 215

Civil Rights Act, 142

Class size, 107

Cleland, David I., 67

Collateral benefits
advantages, 333

defined, 309, 331-32
theory, 332

types, 332

Collective negotiations

agreement, 394, 408-13

appraisal, 413

arbitration, 395

big education, 389

characteristics, 383

compensation, 320-21

consultants, 401

contract comparison, 394-95

contract negotiation, 408-10

contract review, 394

data, 395, 396

defined, 383

external forces, 387-90

goal, 385

grievances, 395

impasse resolution, 405

information, 394, 492

legal counsel, 401

negotiating team, 398-99

personnel administrator, 400

personnel function, 382-414

philosophical bases, 392-94

planning, 391-92

prenegotiations, 395

preparation, 391

principal, 400

process, 390-413

propositions relating to, 383

security, 409-10

strategy, 401-403

strikes, 405

superintendent, 400

system organization, 397

tactics, 403-405

team, 398-99

techniques, 395-96

trilateralism, 405-406

unions, 389-90

Communication, 499

Comparative Analysis of Complex Organizations, A, 10

Compensation (*see also* Collateral benefits; Noneconomic benefits; Salaries)

- ability to pay, 322
 - administering, 334-40
 - administrative, 342-81
 - benefit theory, 332-34
 - collateral benefits, 331-34
 - collective negotiations, 320-21
 - concept of total, 308-10
 - control, 338-40
 - cost of living, 323
 - explaining, 335-36
 - incentives, 314-15
 - increases, 329-31
 - index, 363-64
 - legislation, 318-19
 - levels, 317
 - man value, 366-67
 - national productivity, 322-23
 - noneconomic benefits, 309
 - nonsalary payments, 309
 - objectives of process, 306
 - perspectives, 307-308
 - policy, 311-15
 - position classification, 350-51, 376-377
 - position definition, 349-50
 - position guides, 350-51
 - position-holders, 324
 - position structure, 315-17
 - position values, 317-18, 358, 363
 - prevailing, 319-20
 - process, 305-306, 310
 - reference level, 361-63
 - scattergram, 357
 - schedules, 325-29
 - service personnel, 375-80
 - standard of living, 323
 - structure, 325
 - supply and demand, 321
 - testing, 334-35
 - total concept, 308-10
 - updating, 337-38
 - variables, 323-24
 - Compounded index salary schedules, 327-28
 - Conditions of work, 408, 455
 - Cone, L. M., 171
 - Conference Board Record, The*, 198, 467
 - Connor, Samuel R., 464
 - Consultants, negotiations, 401
 - Consumer Credit Protection Act, 142
 - Continuity of personnel service
 - absenteeism and lateness, 450-51
 - death, 476
 - demotion, 464-65
 - disability, 471
 - dismissal, 467-68
 - goals, 441-43
 - health of personnel, 451-55
 - lay-off, 471
 - leaves, 443-47
 - process of maintaining, 440-78
 - promotion, 458-62
 - resignation, 466
 - retirement, 473
 - safety, 457-58
 - separation, 465
 - substitute service, 447-50
 - transfer, 462-64
 - turnover, 466
 - Contracts, 198-99
 - Controversial issues, 433-37
 - Cooperation
 - line-staff, 44-47
 - voluntary, 85-86
 - Cost of living, compensation, 323
 - Counseling, 456
 - Counts, George S., 4
 - Cuddihy, Robert Basil, 469
- ## D
- Davey, Harold W., 380
 - Davis-Bacon Act, 142
 - Death of personnel, 476-77
 - Deployment
 - decentralized organization, 114
 - early childhood education, 115
 - patterns, 114
 - personnel, 113
 - professional staff, 114
 - service staff, 112
 - DeVaughn, James E., 465
 - Development of personnel
 - budgeting, 278-80
 - concepts, 276-77
 - dimension and scope, 271-72

Development of personnel [Cont.]

- evaluation of programs, 301-303
 - goals and roles, 281-84
 - implementation of programs, 298-301
 - information system, 289-90
 - need, 272-75
 - objectives, 285-89
 - plans, 277-81
 - process, 280-302
 - programming, 289-98
 - programs for administrators, 294-296
 - programs for board members, 297-298
 - programs for classroom personnel, 292-94
 - programs for service personnel, 296-97
 - responsibilities, 284-85
 - total systems needs, 285
 - unit development needs, 287-89
- Differentiated staffing, 117
- Disability, 471-73
- Disadvantaged, 159
- Dismissal of personnel, 467-70
- Drucker, Peter F., 36, 180, 500

E

- Eaton, William E., 429
- Ebel, Robert, 169, 170
- Edefelt, Roy A., 282
- Education and American Civilization*, 4
- Educational Administration Quarterly*, 115
- Educational program, 99-100
- Educational system planning, 63
- Eligibility list, 197
- Ellena, William S., 234
- Employee Retirement Income Security Act, 142
- Encyclopedia of Education*, 447, 465
- Environment
 - external, 25, 27-30
 - internal, 25
- Equal Pay Act, 142
- Etzioni, Amitai, 10

- Evaluation (*see* Personnel appraisal)
- Evaluation Interview, The*, 190
- Examinations, 190-92

F

- Fair Labor Standards Act, 142
- Famularo, Joseph J., 190, 194, 380, 451
- Fear, Richard A., 190
- Feedback, 502
- Fielden, John S., 464
- Fischer, Louis, 433
- Flippo, Edwin B., 392
- Freedom (*see* Academic freedom)
- French, Wendell, 95, 386
- Fuchs, Ralph F., 437

G

- Gage, N. L., 170
- Gary, Gloria J., 336
- Gatza, James, 267
- Gellerman, Saul W., 202-203, 467
- George, Claude S., Jr., 235
- Getzels, Jacob W., 8, 22
- Gibbs, George J., 188
- Goal Setting: Key to Individual and Organizational Effectiveness*, 13
- Goal structure, 11, 70
- Goals
 - collective negotiations, 385
 - human resources, 10-13
 - induction, 207
 - manpower planning, 97
 - objectives of personnel function, 33
 - personnel development, 281
 - retirement systems, 473
 - staff development, 285-89
 - structure, 70
 - tenure, 423
- Goldhammer, Keith, 104
- Gorton, Richard, 413
- Greenfeld, Stuart, 454
- Greenman, Russell L., 141
- Greenough, William C., 474-75
- Grievances
 - negotiations, 410-13
 - personnel security, 419-22
 - procedure for settling, 421

- Griffiths, Daniel E., 104
 Grimaldi, John V., 192
 Gross, Bertram M., 57, 345
 Group(s)
 functions, 58
 significance, 59
 work, 57-58
 Group meetings
 limitations, 60

H

- Hall, Richard D., 13
 Hamilton, Robert R., 198
Handbook of Modern Personnel Administration, 190, 194, 380, 451
 Harris, Ben M., 282
 Harrison, Roger, 14
 Hart, Leslie A., 103
 Hartung, A. Bruce, 449
Harvard Business Review, 14, 18, 249, 267
 Haus, Walter F., 196
 Hawthorne, Phyllis, 237
 Hazard, William R., 432
 Health of school personnel, 451
 Heisler, Richard S., 218
 Hepburn, Mary, 431
 Herman, Jerry J., 248
 Hershey, Robert, 188
 Hill, Roy, 464
 Hinrichs, John R., 103
 Hodes, Lance N., 198
How to Negotiate, 399
 Huff, Sheila, 171
 Hughes, Charles L., 13
 Human resources, 3-30
 Hunter, Madeline C., 248
 Hussain, Khateeb M., 497

I

- Index salary schedules, 326-28
 Individual
 adjustment, 209
 the organization, 18
 staff data, 127-28
 Induction
 activities, 210
 community, 211-12

- control, 225-26
 goals, 207-10
 organization, 210-16
 periods, 216-25
 personal adjustment, 214-15
 phasing and coordinating, 216
 position adjustment, 212-13
 problems, 211
 process, 206-27
 responsibilities, 215
 school system, 213
 Informal organization, 23-25
 Information (*see also* Personnel information)
 communication, 499-502
 personnel, 479-504
 process and personnel function, 493-504
 staff members, 485-87
Information Imperative, The, 484
 Instruction, 105-106
 Instructional groups, 106
Instructional Programming, 119
 Intelligence, personnel selection, 183
 Interview
 selection process, 188
 types, 189

J

- Jacobsen, Gene S., 471
 Jensen, Boyd F., 471
 Johns, Roe L., 60

K

- Kahn, Robert L., 8
 Kassam, Lawrence, 431
 Katz, Daniel, 8, 19
 Kaufman, H. G., 171, 461
 Kay, Emanuel, 147
 Kessler, Clemm C., 188
 Kieft, Raymond N., 476
 Kindall, Alva F., 267
 King, Francis P., 474-75
 King, William R., 67
 Krasno, Richard M., 261
 Kraut, Allen I., 461
 Krug, Judith F., 430, 431

L

- Labor-Management Relations Act, 142
- Labor-Management Reporting Act, 142
- Lateness, 450-51
- Law and Public Education, The*, 199
- Law and Public School Operation, The*, 423
- Lawler, Edward E., 331
- Layoff, 471
- Leadership
 - defined, 21
 - functions, 59
 - influences, 54-57
 - models, 22
 - styles, 21-22
- Leaves of absence
 - characteristics of plans, 444
 - defined, 443
 - guidelines, 445
 - limitations of substitute plans, 447-448
 - planning grid, 446
- Lieberman, Myron, 413
- Lighthall, Frederick F., 455
- Lomar, Homer Jess, 196
- Long-range personnel strategy, 4-5
- Long-range plans, 67-72
- Loomis, Hobart, 449
- Lopez, Felix M., 190
- Lucio, William H., 178, 251
- Ludlow, Hope T., 476
- Luke, Robert A., 18
- Lyon, Catherine Dillon, 461

M

- McCollough, Tom, 282
- McFarland, Dalton E., 95
- McKenna, Bernard H., 114, 244
- McKersie, Robert B., 392
- McNeil, John D., 248, 251
- Maier, Norman R. F., 464
- Mali, Paul, 194
- Management: Tasks, Responsibilities, Practices*, 483
- Manpower planning
 - adjusting and controlling, 135-37
 - assumptions, 95-120

checking and adjusting plans, 136-137

- control, 135-37
- dimensions, 91-97
- educational program, 105-106
- forecasting, 129
- goals, 97
- inventory, 125-29
- long- and short-range, 92-94
- organization of instruction, 105
- process, 95-135
- programming, 129
- projection, 121-24
- requirements, 121-24
- service personnel, 112-13
- staff deployment, 113
- staff size, 107
- structure, 124-25
- Mara, Thomas G., 464
- Marrow, Alfred J., 461, 491
- Marting, Elizabeth, 192
- Masserman, Jules, 59
- Masterson, Thomas R., 464
- Meaning of the Twentieth Century, The*, 382
- Meggison, Leon C., 10
- Meltzer, Morton F., 484, 497
- Meyer, Herbert H., 491
- Meyer, Paul, 196
- Miller, Irving, 407
- Miller, Robert B., 191
- Miller, William C., 282
- Mission, system, 72, 81
- Mitchell, Terence R., 186
- Morphet, Edgar L., 60
- Motivation, 100-103
- Murdick, Robert G., 106, 482

N

- National Commission on Teacher Education and Professional Standards, 118
- National Education Association, 109, 118, 234, 248, 249, 282, 399, 411
- NEA Handbook, 426
- National Retired Teachers Association, 476

Nation's Schools, 447
 Needs, human, 20
 Negotiating agreement, 408
 Negotiating team, 398
 Negotiations (*see* Collective negotiations)
 Nelson, J. H., 387
 Newman, William H., 93
 Noneconomic benefits, 308-309
 Nonsalary payments, 308-309
 Novack, Stanley R., 188

O

Objectives (*see* Goals)
Obsolescence and Professional Career Development, 461
 Odiome, George S., 292
 Organization
 formal, 9
 ideology, 13-14
 individual, 18-21
 induction process, 210
 informal, 23-25
 instruction, 105
 manual, 124
 negotiations data, 396
 personnel function (*see* Personnel function)
 personnel recruitment, 146-54
 selection process, 173
 subsystems, 9
 Organization chart, 124, 351
 Organization manual, 124
 Organization structure
 assumptions regarding, 17
 projection, 124
 Organization theory, 5-9
Organizational Psychology, 292

P

Patz, Alan L., 249
 Pay (*see* Compensation)
 Pendleton Act, 142
 Pennsylvania School Boards Association, 429
 Performance appraisal, 231-70
 Performance deficiencies, 295
 Personnel (*see also* Manpower planning; Service personnel)
 academic freedom, 430
 adjustment, 197
 administrative (*see* Administration; Administrators)
 appraisal (*see* Personnel appraisal)
 collective negotiations (*see* Collective negotiations)
 compensation (*see* Compensation)
 contracts, 198
 demotion, 458
 development (*see* Development of personnel)
 disability, 471
 dismissal, 467
 function (*see* Personnel function)
 grievances, 419-22
 health, 451
 induction, 265
 information, 479-504
 layoff, 471
 nomination, 197
 paraprofessional, 109
 participation, 59-60
 placement, 199-202
 planning, 62-87
 processes and procedures, 80
 promotion, 458
 recruitment (*see* Recruitment of personnel)
 resignation, 466
 retirement, 473
 secretarial and clerical, 379
 security, 417-38
 selection (*see* Selection of personnel)
 service, 112
 service, continuity, 439-78
 sources, 154
 transfer, 458
 types, 104
 utilization, 117-20
 working conditions, 455
Personnel, 22
Personnel: A Behavioral Approach to Administration, 10

Personnel Administration by Objectives, 292

Personnel administrator

- development, 284
- induction, 215
- negotiations, 400
- recruitment, 151-52
- retirement, 474-75
- role, 42-44
- selection, 173-76

Personnel appraisal

- approaches, 232
- basic premises, 242-47
- control of process, 268-69
- development, 265
- documentation, 261
- historical perspective, 231-32
- human problems, 239
- individual action program, 265
- modern view, 237-38
- organizing system, 247
- performance targets, 258-60
- policy, 251-52
- position requirements, 253
- postdevelopment review, 266-68
- preappraisal, 255-57
- process, 255-69
- progress and potential forms, 261-263
- system, planning, 247-54
- traditional systems, 232-35
- training programs, 253-54

Personnel director (*see* Personnel administrator)

Personnel function

- administrative and operating process, 43
- centralization, 38
- collective negotiations, 385
- fitting into structure, 37-38
- goals and objectives, 33-34
- nature and scope, 8
- organization, 33-61
- planning concepts, 62-87
- processes involved, 35, 36, 40
- relationships, 47-49
- structuring, 34-37

Personnel information

- acquisition, 495
- appraisal process, 488
- communication, 499-502
- compensation process, 490-91
- continuity process, 493
- development process, 491
- dissemination, 498-99
- elements of system, 481-82
- identification, 494-95
- induction process, 487
- information structure, 482-84
- information system, 479-81
- manpower planning, 485-86
- negotiations process, 492
- personnel process, 484-86
- recruitment process, 486
- refinement, 496-97
- retrieval, 498
- security process, 418, 492
- selection process and structure, 487
- storage, 497-98

Personnel service (*see* Continuity of personnel service)

Peterson, LeRoy, 423

Phi Delta Kappan, 169, 393, 407, 413, 431, 461

Planning

- assumptions, 70
- concepts, 62-87
- educational system, 63-64

Plans

- intermediate, 67
- long-range, 67
- short-range, 67
- single use, 81
- standing, 74
- strategic, 4
- system, 66
- variable, 67

Policy

- committee on negotiations, 398
- employment, 141
- guides to compensation, 312
- personnel appraisal, 251
- promotions, 458-62
- recognizing the individual, 75
- recruitment, 144

- safety, 457
 - structure, 75-76
 - Popham, James W., 218
 - Position
 - analysis, 170-80, 344-57
 - definition, 314
 - design, 100, 253
 - index system, 310
 - matching people, 170-81, 199
 - orientation, 212
 - redesign, 100-105
 - requirements and selection, 178-81
 - structure, compensation process, 352
 - types, 175
 - values, 363
 - Position guides
 - compensation planning, 350-51
 - elements, 258
 - selection, 176
 - Practice of Collective Bargaining, The*, 408
 - Principal
 - negotiations, 400
 - personnel function, 53-57
 - position redesign, 101
 - staff development, 53-56
 - Principles of Personnel Management*, 392
 - Procedures, 80
 - Process of Management, The*, 93
 - Processes (personnel)
 - appraisal, 254-69
 - collective negotiations, 390
 - compensation, 310
 - continuity of service, 440
 - development, 280
 - induction, 206
 - information, 479-504
 - manpower planning, 95-97
 - recruitment, 145-65
 - security, 418
 - selection, 168-203
 - Productivity, 322-23
 - Progress review of individuals, 263
 - Promotion of personnel
 - defined, 458
 - intrasystem, 460-61
 - policy, 459
 - Public employment policy, 141
 - Pupil-teacher ratio, 107
- R**
- Recruitment of personnel (*see also* Selection of personnel)
 - advertising, 157-58
 - board of education, 148-49
 - campus and field, 157
 - chief executive, 149-51
 - controls, 163-65
 - coordination, 162-63
 - definition, 138
 - developing applicant sources, 154-162
 - disadvantaged, 159
 - external sources, 156-57
 - individual recruiter, 153-54
 - integration and manpower planning, 139-41
 - internal sources, 154-55
 - nature and scope, 152
 - organization, 148-54
 - personnel administrator, 151-53
 - placement agencies, 158-59
 - planning, 146-48
 - policies, 143-45
 - premises of plan, 140-41
 - process, 145-66
 - processing individuals, 162-63
 - programming, 148-54
 - public policy, 141-43
 - relationship to personnel function, 142
 - Redfern, George B., 248
 - Reller, Theodore L., 50, 60
 - Resources, human, 3-30
 - Responsibility, attendance unit, 49
 - Retirement of personnel
 - objectives, 473
 - personnel administration, 473-74
 - Reutter, Edmund E., 198
 - Role prescriptions, 175-76
 - Rosenbaum, Cheryl, 476
 - Ross, Joel E., 186, 482

Rossmiller, Richard A., 423

Rubin, Louis J., 282, 433

S

Saario, Terry N., 461

Safety of school personnel, 457-58

Salaries (*see also* Compensation)

administrative personnel, 343

classroom personnel, 325-28

definition, 309

increases, 329

prevailing, 319

service personnel, 375-80

Sand, Ole, 104

Saville, Anthony, 119

Scattergram, compensation, 357-58

Schedules

compounded salary, 327-28

indexed salary, 326-28

single salary, 325-26

work load, 119-20

Schein, Edgar H., 243, 292

Schimmel, David, 433

Schmertz, Eric J., 141

School Management, 413

Schreiber, David E., 337

Scott, Loren Lewis, 189

Scott, William C., 186

Security of personnel

academic freedom, 430-36

dismissal, 467-71

grievance procedures, 419-22

process, 418

retirement, 473-76

tenure, 422-27

Selection and Evaluation of Teachers, 179

Selection of personnel (*see also* Recruitment of personnel)

applicant references, 192-93

application blank, 187-88

appraisal, 193-96

attitudes, interests, needs, 185

background investigation, 192-93

behavioral characteristics, 181-86

candidate background, 182

certification audit, 197

characteristics, personal, 183-86

conceptualization of process, 167-168

control of process, 202-203

designing and organizing process, 173

devices, 186-93

information needed, 182

interviews, 188-90

limitations in process, 168-72

nominations, 197-98

organization, 173-75

person requirements, 181

placement policies, 199-201

policies, 172-73

position guides, 176-77

process, 168-203

professional qualifications, 184

references, 192-93

responsibilities, 174

role prescriptions, 175-76

test and examination, 190-92

value system, 185-86

Separation of personnel, 465-66

Sergiovanni, Thomas J., 10, 101

Service

continuity, 439

substitute, 447

termination, 465

Service personnel, 112, 296, 375

Shane, Harold G., 104

Shuster, Albert H., 115

Sibson, Robert E., 337

Simple index salary schedule, 326-27

Single-use plans, 81

Sinowitz, Betty E., 429

Situational management, 25

Size

class, 107

organization, 111

Sloan, Stanley, 337

Social Psychology of Organizations, The, 8

Sources of personnel, 154

Special salary schedules

administrators, 342

service personnel, 377

Sperry, David J., 471

Spuck, Dennis W., 314

Staff

- balance, 116
- data on individual, 127
- deployment, 113-16
- development, 276
- differentiated, 117
- ratio, 104
- relationships, 54
- size, 107-108
- utilization, 117-18

Staffing

- administrative, 110-12
- attendance unit, 51-53
- differentiated, 117

State and tenure, 423

Steinmetz, Lawrence L., 464

Sternbeck, Susanne K., 249

Sternhagen, C. J., 451

Stewart, Don, 115

Stover, W. Robert, 450

*Strategies for Manpower Planning
and Programming*, 133

Strategy, negotiations, 401

Strikes, 405

Structural analysis diagram, 352-53

Structure

- characteristics, 348
- organization, 15-18, 348-50
- personnel information, 482
- policy, 75-76
- relationships, 15, 50
- Substitute service, 447
- Sucher, Joseph E., 449
- Superintendent of schools
 - general functions, 39
 - personnel unit, 38-42
- Supply and demand, compensation, 321

System

- concept of organization, 64
- information, personnel function, 479
- plans, 66
- Systems approach, 65

T

- Tactics in negotiation, 403
- Taghere, Daniel, 200-201

Task dimension, 25-26

Teacher(s)

- appraisal (*see* Personnel appraisal)
- beginning, induction, 211
- behavioral characteristics, 181
- physical characteristics, 183
- salary schedule, 325-29

Teacher-pupil ratio, 107-108

Tenure

- characteristics, 422
- legal nature, 423
- malfunction, symptoms, 428
- privilege, 426
- probationary period, 425
- process, 424
- termination of service, 427

Tests, 190-92

Theory

- collateral benefits, 332
- modern organization, 5
- systems, 63-67
- Theory of Administration*, A, 10
- Thompson, Victor A., 100
- Time, 59
- Tollett, Charles, 109
- Tollett, Dan, 109
- Transfer of personnel, 462-64
- Travers, Robert M. W., 234
- Turnover, personnel, 466-67

U

- Unit, personnel development needs, 287-88
- Unit control, 111
- Utilization of personnel, 117-20

V

- Value system, personnel selection, 185-86
- Volz, Marlin W., 423

W

- Wages (*see* Compensation; Salaries)
- Wagner-Peyser Act (1933), 159
- Wagstaff, Lonnie, 282
- Walsh-Healey Act, 142
- Walton, Richard E., 392

Washington, Roosevelt, Jr., 449
Wickersham, Edward D., 408
Wilson, Robert, 83
Wiseman, Thomas, 343
Wolcott, Harry F., 104
Work and motivation, 101-103
Work Hours Act, 142
Work load, 119-20

Working conditions, 455
Wynn, Richard, 393

Y

Young, Ken M., 433

Z

Zimmerman, William G., Jr., 433
Zoffler, H. J., 193